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THESIS

COMPANY COMMANDER COMPETENCY ASSESSMENT  
FOR THE UNITED STATES ARMY

by

Robert Lee Maginnis

December 1983

Thesis Advisor:

Mel Spehn

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Company Commander Competency Assessment  
for the United States Army

by

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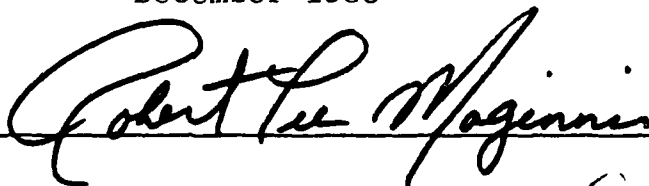
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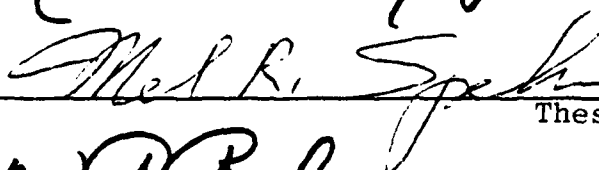
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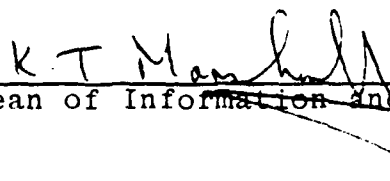
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## ABSTRACT

The Army cannot afford to develop company commanders who are marginally effective. A measure of a company commander's effectiveness can be ascertained by comparing his performance against a proven competency based model. This study develops a "success" oriented competency based model and provides a competency assessment and development (CAD) instrument which identifies possible command competency weaknesses for prospective company commanders.

The CAD provides a means of identifying "Where I Am" and then compares "My Competency Model" with that of "successful" company commanders in the field. The CAD also provides a planning mechanism and appropriate references to assist the officer in the competency development process.

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## I. INTRODUCTION

### A. OVERVIEW

"Superior combat power derives from the courage of soldiers, the excellence of their training and the quality of their leadership" [Ref. 1: pp. 2-6]. This combination produces success on the battlefield. The crucial issue is how can we identify a proper mix of these ingredients and how do we train our leaders to derive this "proper mix?"

Quality leadership has long been an item of concern. The great leaders of the profession of arms have had their philosophies and modern theorists have led the military profession through many theoretical hoops. For example, Carlyle proposed a "Great Man" (Unitary) theory of leadership, in the late 1920's the Trait theory was in vogue and shortly thereafter the situationalist (Interactional Theory) was espoused as the measure of quality in leadership. During the past 20 plus years the behavioral theories of leadership have begun to attract attention. One such view is the theoretical foundation of this thesis.

A leadership theorist in his own right, German General Kurt von Hammerstein, explained a unique way of classifying officer leaders. He divides "officers into four classes-- the clever, the lazy, the stupid and the industrious. Each officer possesses at least two of these qualities. Those

who are clever and industrious are fitted for the high staff appointments. Use can also be made of those who are stupid and lazy. The man who is clever and lazy is fit for the very highest command. He has the temperament and the requisite nerves never to deal with all situations. But whoever is stupid and industrious must be removed immediately" [Ref. 2: p. 223]. General von Hammerstein's theory of leadership seems to fall in an ambiguous area between the trait and behavioral theories.

Possibly there are behaviors such as clever, lazy, and stupid and industrious which can either be measured and or learned. Further, there might be a set of behaviors, first, which are generic to the entire Army leadership corps and second, a set of behaviors which are peculiar to leader roles at the sundry levels of command.

This study suggests that there are measurable behaviors which discriminate between the average and superior performer. The degree to which these behaviors (traits and skills) are required will be tied to demonstrated effective performance. Little doubt that the lack of effective performance of these behaviors will lead to failure for the aspiring company commander. (For the purposes of this thesis generic competencies refer to those traits, characteristics and skills which are required by behavior which discriminates between average performers and superior performers. Threshold competencies are those traits, skills and characteristics

which are the minimum acceptable performance producing competencies for the given position.)

The thesis addresses the above hypothesis by building a behavior based model for the role of the company commander. The model is used to develop a self-assessment instrument to assist officers, who have not commanded, to prepare for command. This is done by helping the officer to identify his behavior weaknesses and then assisting with the development of a realistic self-help plan.

Interestingly, one of the few behavior assessment studies conducted by the Army suggested that a self-assessment approach might be very effective. In 1973-1974 the United States Army Infantry School (USAIS, Assessment Center (ACTR) assessed students in the Infantry Officer's Advanced Course (IOAC), the Infantry Officer's Basic Course (IOBC) and the Advanced Non-Commissioned Officer's Education System (ANCOES) to determine the feasibility of the assessment center techniques for leadership development and leadership prediction. The results of the study did not support the future use of assessment centers. The ACTR report does however read "field leadership ratings by supervisors, peers and subordinates were substantially the same at 6 and 18 months; that is, the ratings were reliable. The most assessor intensive formal ACTR exercises actually did the poorest job of predicting field leadership. Self-description provided the most leadership predictors and required the least



assessor and assessee time" [Ref. 3: p. 2]. The implication seems to be that the assessee is a far better assessor of his strengths and weaknesses than an outside group. This being the case then there is a precedent for the researcher to design a self-assessment instrument which keys on the individual doing his own assessment.

The development of self-assessment instruments which are focused on "self-description" and self-evaluation are gaining attention. They have surfaced because first, assessment centers are resource intensive and second, as indicated by the ACTR study, self-assessment can be more accurate than the formal assessment center. Thirdly, the job competency assessment approach (as explained in Part E) which is the basis for the instrument developed by this author is a new evaluation technology which likely will change most job related assessment practices in the long term.

#### B. LEADERSHIP STUDIES

The study of leadership has generated intense interest since the first time man began to wonder why certain people differ. Indeed the standout leader is a challenge to study. In this century alone both "experts" and novices have energetically sought to define the talents and skills which contributed to the success of the acknowledged successful leaders of our past [Ref. 4: p. 3].

Systematic studies of leadership have only been done during the past century. Beginning in 1879, Galton looked at the hereditary background of distinguished men. He set the groundwork for Thomas Carlyle who in 1910 penned his "Great Man" (Unitary) Theory. His theory proposed that the leader is a person endowed with unique qualities that set him apart. He looked at the great leaders compiling a list of characteristics which he later submitted were "The" qualities necessary to be a successful leader, that is: the proper height, weight, physique, health, appearance, right lineage and right mentors. This theory was soon replaced.

In the late 1920's the Trait approach to analyzing leadership was introduced. According to Stogdill the trait advocates measured "personality" and the characteristics of the individual who reached positions of leadership. They accomplished this by using "personality" tests which supposedly measured the traits of personality. Subsequently the traits of the "successful" were published. Smith and Krueger (1933) conducted one such study. They listed a number of traits that characterize leaders: (1) Personality Traits: knowledge, abundance of physical and nervous energy, enthusiasm, originality, initiative, imagination, purpose, and persistence; (2) Social Traits: tact, sympathy, faith in others and self, patience, prestige, ascendance-submission; and (3) Physical Characteristics: some advantages as to height, weight, and physical attractiveness [Ref. 6: pp. 3-80].

Such trait studies received wide publicity and use due to the convenience of time. Specifically, they were popular at the time the nation built its military manpower prior to and during World War II. Since this was one of the few "scientific" theories of leadership the War Department chose it for the basis of many training programs.

The Army's leadership field manual published in March of 1951 demonstrates how deep seated the Trait Theory of leadership became for the Army. The manual's foreword reads: "This manual stresses the importance of self-improvement. The principles, character traits and procedures set forth are offered as an assistance to the leader in the problem of controlling others. By applying these procedures to his own practice and by analyzing his own traits of character, the leader will possess a yardstick for measuring his own success or failure" [Ref. 7: p. iv].

The field manual defines leadership as "the art of influencing human behavior--the ability to handle men" [Ref. 7: p. 2]. It dismisses the Unitary Theory by saying that "any theory that (says) leadership is solely inherited must be rejected" [Ref. 7: p. 2]. Then it explains how "any reasonably intelligent, morally sound, forceful man, no matter how inexperienced, can become acquainted with the component elements of leadership. These elements may be studied, practiced, learned, and applied, just as any other human accomplishment may be learned and mastered" [Ref. 7: p. 2].

The method suggested in the field manual for mastering leadership "is dependent upon personal traits and upon the application of recognized techniques. The personal traits can be developed, and the techniques can be learned" [Ref. 7: p. 3]. It follows by saying the "leadership traits are human qualities that are of great value to the leader" [Ref. 7: p. 15]. It explains that an individual can benefit from a study of important traits "by careful self-analysis and application, he can develop those traits in which he is deficient and further strengthen those in which he is strong" [Ref. 7: p. 6]. Some of the traits listed include: alertness, bearing, courage, dependability, endurance, enthusiasm and force. Definitions for each were provided.

The convergence of the traits and techniques is a conceptual exercise. Somehow the soldier was expected to recognize his set of traits, analyze which traits were weak and then strengthen his weaknesses by using a set of leadership techniques. The leadership techniques mentioned include: know yourself and seek improvement, keep your men informed and set the example [Ref. 6: p. 19]. The apparent intent of the field manual is commendable, but rather difficult to conceptualize.

The Trait Theory was seriously challenged about the time the Army's leadership manual was published. A general criticism of this theory is that it presents a one way view of leadership, that is, leaders are portrayed as detached,

isolated entities, and immune from the consequences of their actions. According to Gouldner (1950) the "trait approach failed primarily because the traits were poorly conceived, the measurements were crude and unreliable and most importantly, the traits were not possessed exclusively by leaders but by non-leaders as well" [Ref. 8: p. 14]. A contributing factor to this conclusion was published prior to the Second War. According to Bird who compared 20 "trait" studies in which 79 traits had been investigated, there was little overlap from study to study [Ref. 9]. This study plus others were instrumental in introducing the demise of the long lived trait theory of leadership.

A problem with the trait approach to leadership had been that the effectiveness of the leader varied from situation to situation. This was further encumbered by the difficulty of reliably measuring the presence of given traits. Most adherents to the trait theory used personality inventory instruments to measure the respondent's traits. This technique proved to be ineffective because it was not generally obvious how the trait should be answered so to be in the "desirable" direction [Ref. 4: p. 21].

The gradual abandonment of trait approaches in the late 1940's and early 1950's gave way to the contention that leadership is a functional role which serves important purposes for the group. This contention led to the adoption of

different methodological approaches to the study of leadership, that is, a study of situation and the impact on the leader.

The situational theory of leadership says that the leader can be differentiated from the non-leader by the given task of the group and situation. This approach has anchored leadership activities to the life space in which they occur. A situational study by Hollander and Julian in 1969 explained their interpretation "... it was to recognize that the qualities of the leader were variously elicited, solved and reacted to as a function of differential group settings and their demands" [Ref. 10: p. 389]. An earlier study by Cartwright and Zander (1960) said "... while certain minimal abilities are required of all leaders, these are widely distributed among non-leaders as well. Furthermore, the traits of the leader which are necessary and effective in one group or situation may be quite different from those of another leader in a different setting" [Ref. 11: p. 492]. This obviously caused considerable consternation amongst situational theorists.

A study by Carter and Nixon (1949) examined a group of leaderless high school boys. They exposed the test group to three kinds of tasks: intellectual, mechanical and clerical. They found that the leaders who arose during the intellectual tasks also arose during the clerical tasks. During the performance of the mechanical tasks different leaders

surfaced. They concluded that to some extent the requirements for leadership are situationally dependent [Ref. 12].

The situation theories tend to support the conclusion that the nature of the tasks performed play an important role in determining who emerges as a leader. Blake, Mouton and Frucher (1954) found that consistency of performance in different groups with varying tasks has been observed in the same leader. The underlying implication that any member of a group can become a leader as long as favorable conditions prevail has since drawn considerable criticism [Ref. 13].

The critics say that the situational theory presents a one way view of leadership. They contend that the situation appears to be the controlling factor and seemingly "selects" a leader. According to Hollander and Julian (1969) this is too simplistic a view of reality. They explain that the leader and situation are not separate entities but merely represent different components of a continuing multi directional process of social information and exchange [Ref. 10].

Behavior based studies paralleled the growing interest in the situational theory. These studies suggested that the more predictable interpersonal behavior is, the less uncertainty there is. Thus, the motive for learning to anticipate the behavior of others seems to be the need to reduce uncertainty and its associated anxieties.

The behaviorist argues that his theory of the study of leadership is not subject to the direction problem

associated with the trait theory. He indicates that the shift from personality traits to leader behavior is a move from a less precise to a more precise study. There are several contemporary behavioral positions. One such study is addressed below.

Beginning in 1947 the Personnel Research Board of Ohio State University began a leadership study that concentrated on the behaviors that individuals displayed in leadership positions. The study began by developing concepts about leadership and a methodology for its study. Doctors Stogdill and Coons indicated that the variables of importance were: status, work performance, personal interactions, responsibility, authority and personal behavior patterns [Ref. 14].

The Research Board produced a paradigm for the study of leadership. (See Figure 1.1) This paradigm focuses on leader behavior and then branches out to the balance of the organization. The paradigm suggests that the organization influences leader behavior. The implication of the concept is that what a leader does is a function of what position he holds in the organization. Further, the leader's behavior is determined by the performance demands made upon the position.

The Research Board applied this concept along two lines of investigation. First, they investigated the effects of positions on the behavior of the position holder. Second,



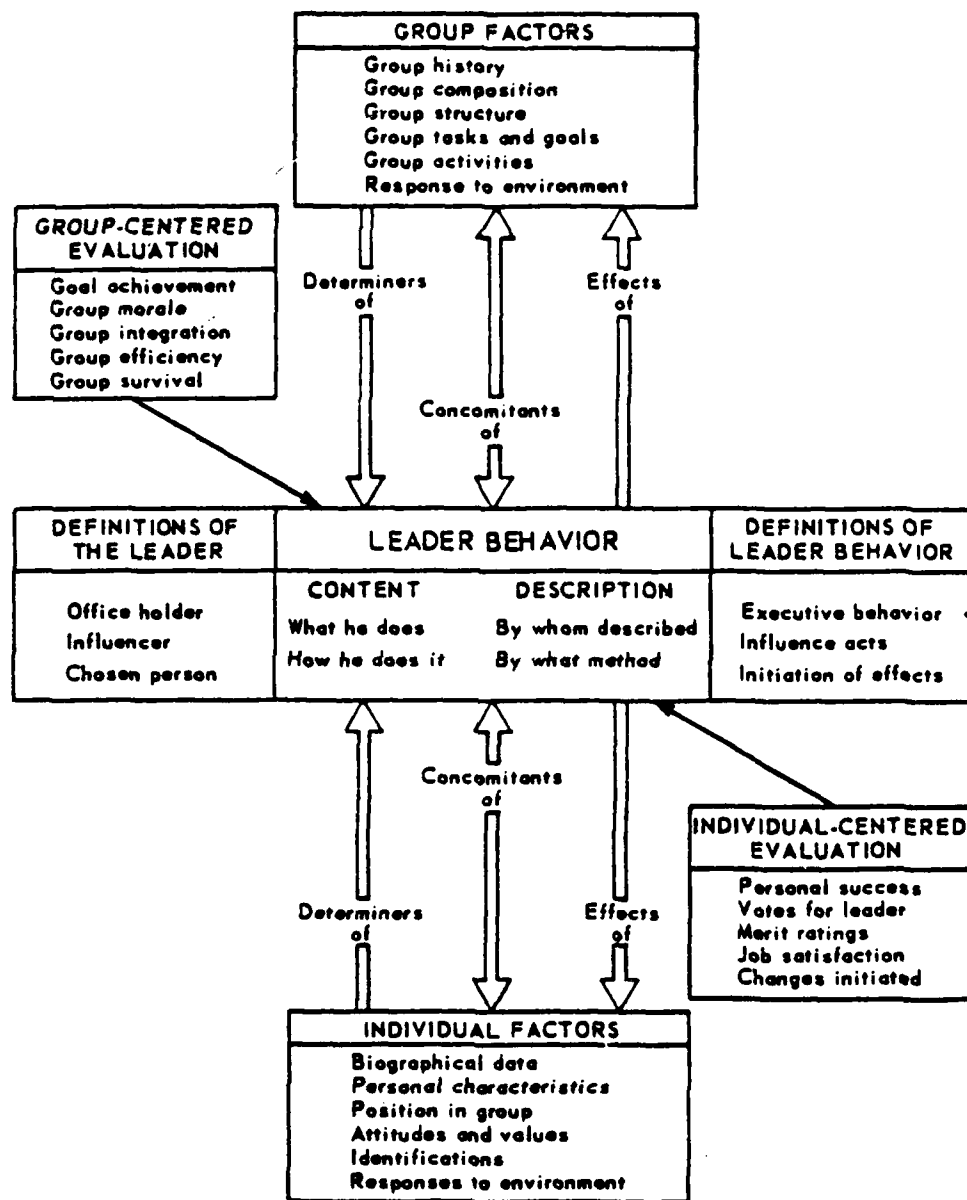


Figure 1.1 Paradigm for the Study of Leadership

they examined the general aspects of leader behavior that might exist in many different positions and be broadly effective.

In concert with their first line of investigation they proposed a definition for leadership. They said it is a "process of interaction between persons who are participating in goal-oriented group activities within the organization" [Ref. 4: p. 24]. They further hypothesized that (a) leadership is exerted by specific persons (position holders), (b) leadership is an aspect of group organization and (c) leadership is concerned with attaining objectives [Ref. 4: p. 24].

The Research Board further explained that formal organizations are goal-oriented and that groups within the organizations have defined goals and objectives to accomplish. The members of the groups will have beliefs or expectations about what each role position holder should do to accomplish the group's goals and objectives. They explained that likely many people within the organization and group will have the same expectations regarding what someone else in a particular position should do as part of the overall task of addressing organizational goals and objectives. This led to the formation of organization roles.

The Research Board studied a large group of Naval officers from many formal roles. The study classified the officers into eight different types of duty positions based

upon the predominant type of performance accomplished with that position. The study concluded that there are types of jobs within organizations that can be described in terms of similar kinds of responsibilities, and that the responsibilities of the position determine to a substantial degree the behavior of the officer in that position [Ref. 4: p. 25].

The study also concluded that interpersonal behavior within the discretion of the position holder is influenced by his personal characteristics, that is, the individual has patterns of interpersonal behaviors that are, to a degree, consistent from situation to situation. These behaviors are molded by the time demands of the position holder as imposed by seniors and subordinates and the technical requirements of the position to which the position holder must adjust his behaviors.

The Research Board developed nine (9) dimensions or categories of leader behavior. These dimensions were subsequently used to develop a questionnaire. Statements of leader behavior illustrating different dimensions were administered to members of different organizational groups. The objective was to develop a means by which to describe leaders. The dimensions were:

- (1) Integration--cooperation-increasing activities
- (2) Communication--increasing group member understanding of group process
- (3) Production emphasis--activity toward increasing amount of work

- (4) Representation--speaking for the group in outside contacts
- (5) Fraternization--leader actions oriented toward becoming a part of the group
- (6) Organization--activities leading toward differentiation of group member duties and defining ways of accomplishing duties
- (7) Evaluation--activities involved in reward distribution
- (8) Initiation--activities involved in changing group activities
- (9) Domination--activities showing disregard for ideas or actions of other group members [Ref. 4: p. 29].

The questionnaire responses were analyzed by factor analysis, a method of identifying common dimensions that underlie the overall data. The outcome of this analysis indicated four (4) underlying dimensions: (1) consideration, (2) initiating structure, (3) production emphasis, and (4) sensitivity (social awareness) [Ref. 4: p. 29]. The Board concluded that of the four only two dimensions of leader behavior, initiating structure and showing consideration, were the ingredients of achieving the desired balance of outputs from the group. (According to Fleishman (73) initiating structure is the act which implies the leader "organizes and defines the relationships in the group, tends to establish well-defined patterns of communications and ways of getting the job done, e.g. he assigns people to particular tasks, he emphasizes deadlines" [Ref. 15: pp. 7-8]. Consideration is leader behavior such as doing personal favors

for subordinates, looking out for their personal welfare, explaining his actions, treating subordinates as his equal and being friendly and approachable [Ref. 4: p. 29].

The Ohio State study established a precedent for creating a behavioral model for a role. This study, the University of Michigan study, the University of Illinois study and others were just the beginning of what today has become a behavioral center theory for the study of leadership.

The behavioral approach to leadership did create a revolution of thought. This theoretical revolution has indicated that there are a set of behaviors clearly more important to each role than others. The degree to which the leader has developed these behaviors and can execute them in his job environment the more "successful" he will be. The Army has been keenly concerned with the development of "successful" leaders. The mere suggestion that a new leadership theory can provide "successful" leader models apparently attracted their attention.

In July 1971 the Behavior and Systems Research Laboratory (BERD) published a study entitled "Dimensions of Leadership in a Simulated Combat Situation." The objective of the study was to provide "the Army with scientific means to identify officers who have aptitudes and other characteristics to meet the differing demands for success in different kinds of leadership positions" [Ref. 16: p. 1].

The research team first set up an officer evaluation center simulation exercise to define the major dimensions of behavior characteristics of effective military leadership. They sampled 4,000 lieutenants between 1961 and 1964. They clearly delineated eight factors which are remarkably like behavior clusters. The study concluded that the "combat leader is successful primarily by virtue of his forcefulness in command of men and his direction of his team. The technical/managerial leader relies more on his executive ability, his ability to organize, to plan, to allocate resources, manpower and responsibilities" [Ref. 16: p. 12]. (The distinction between a leader in combat versus a leader in peace time is important. There have been several studies which have defined the distinguishing differences.)

This was one of the first recorded behavioral specific studies conducted within the Army. The model of eight (8) factors looks very similar to many of the models which have been developed since.

Several additional contemporary models of leadership are briefly explained below:

- (1) Fiedler's Contingency Model: The model used the least preferred co-worker (LPC) instrument. The model uses the LPC score to suggest that the degree of esteem the leader feels for a co-worker helps to define his leadership model [Ref. 17: p. 11].
- (2) House's Path Goal Theory: This theory attempts to define situationally the casual relationships linking the leader's initiating of structure and consideration to subordinates' performance and work attitudes [Ref. 17: p. 13].

- (3) Graen's Vertical Dyad Linkages: This approach focuses on how influence processes develop and change over time [Ref. 17: p. 15].
- (4) Decision Making Model: This model suggests that productivity is increased as subordinates participate in the decision making process [Ref. 17: p. 15].
- (5) Information Processing Approach: This approach suggests that leader "success" may be linked to the characteristics inherent in the group task and the level of cognitive functioning demonstrated by the leader [Ref. 17: p. 22].

In summary, the theories of leadership have changed three times this century. The "Great Man" or Unitary Theory was short lived. Because it was the only "scientifically verifiable" theory available, the trait theory was universally adopted and was thoroughly integrated into the armed services. Proponents of this theory can still be found today. However, the behaviorists are rapidly gaining ground. The services have continued to conduct behavior modeling for soldiers, sailors and airmen over the past twenty years. The changes are just beginning to surface in our manuals, in the curriculum of our schools and in the very ways we lead.

#### C. LEADERSHIP TRAINING

Decentralized leadership training has been supreme for many years in the Army. Typically the service schools, CGSC and the academies have provided their own version of leadership instruction based generally on the same theories. The Army's Field Manual FM 22-100, Leadership, addresses the

topic of leadership but "provides guidance more than doctrine" [Ref. 6: p. 12]. The lack of a proponent agency for leadership (until recently) has created a situation which has by default relegated considerable freedom to the service schools concerning leadership instruction.

As a result leadership training differs in content and method of delivery across the Army. Most methods tend to be cognitively oriented as opposed to programs which seek to develop leadership behaviors. The schools apparently rationalize that the best forum for leader development is in the job arena where the soldier learns from experience. This rationalization is evidenced by the meager commitment of course hours to the subject of leadership for many service schools. Unfortunately these on the job experiences are often unsystematic and unmonitored. The result is an Army with a lot of guidance but little substance as regarding leadership development.

The approaches used to "teach" leadership span a long list of training methods. They include:

- (1) Lecture: This is the traditional method of communicating information from an "expert" to the student soldier. The lecture is often supplemented with readings or other stimuli.
- (2) Case Studies: The student is introduced to interpersonal and organization situations with numerous variables in the context of a work situation. The cases usually represent close to real life situations. The class leader (monitor) encourages the students to discuss the case, discovering the problem(s) and recommending solutions in terms of leadership principles.



- (3) Conference Approach: A popular method which takes a highly "practical" approach to leader development is the conference approach. This method does not require a subject matter expert, only a person who can do a creditable job of guiding the conferees to achieving program goals.
- (4) T-Group Approach: This approach uses the group as a vehicle for learning. The method aims for behavioral change.
- (5) Others: Role playing, simulations and multi-method approaches are still considered experimental but appear to be effective. They focus on behavior change.

Human Resources Research Organization (HumRRO) technical report 80-2 entitled "Leadership Training: The State of the Art" by Joseph A. Olmstead provides a thorough examination of the subject. The thrust of his report is that the services have not systematically approached the issue of leadership development. This may well be because of what he claims is the lack of a well defined leadership doctrine.

In conclusion, this discussion has been provided as a transition between the discussion of leadership theory and a discussion of several attempts to assess and teach leaders. The current turbulence within the Army in regards to leadership instruction and development is ample justification for further research.

The following two sections explain how the Army has used and applied leader assessment technologies and the job competence assessment technology. Both appear to address the weaknesses currently facing the Army's leadership training and assessment programs.

#### D. LEADERSHIP ASSESSMENT CENTERS

The use of assessment center technology in the United States began WW II. WW I hero General William "Wild Bill" Donovan convinced President Roosevelt to establish a task force to develop an international secret service for the U.S. Six months after Pearl Harbor (May '42) the Office of Strategic Studies (OSS) began "to plan and operate special services as may be directed by the U.S. Joint Chiefs of Staff" [Ref. 18: p. 1]. Their special services included espionage, sabotage, "black" propaganda and guerrilla warfare.

After considerable effort to find candidates for select OSS type operations, the U.S. turned to a British approach. The British War Office Selection Boards (WOSB) used psychological and psychiatric assessment techniques to find candidates for the British version of the OSS [Ref. 18: p. 1]. Their apparent successes convinced "Wild Bill" and his team of psychologists to study and subsequently adapt the British approach.

The OSS set-up a training and assessment facility at the Willard Estate in Fairfax, Virginia, only eighteen miles from Washington [Ref. 18: p. 1]. This facility became known as Station S. Through a process of trial and error the teams of psychologists produced tests and dimensions by which candidates were assessed.

The OSS enjoyed limited successes. It did begin a process of assessment and model building which continues today. A detailed presentation of the history of the OSS was written by Donald W. MacKinnon, a member of the original OSS assessment board, entitled "How Assessment Centers Were Started in the U.S."

The development of assessment center applications which began with the OSS has subsequently followed a three period path to the present. The first period, Initial Assessment Period, introduced the foundation for the technology of assessment to American industry. The second period, the Industrial Period, adapted the assessment technology to many industries and therefore laid the research foundation to support the application of the technology. The third and present period, General Applications Period, began in the late 1960's and ushered the assessment center method into many settings, purposes and organizations. Amplification of each period and the sundry supporting studies is provided by a monograph by Development Dimensions International entitled "The Validity of Assessment Centers."

For the purposes of this study, the following brief overview of the assessment center technology is provided.

For most situations or tasks there are a set of specific behaviors which determine success or failure. For example, the success or failure of a football player is a function of how well he performs, such as blocking, running his plays,

catching and kicking the football and more. In much the same way, success in a leadership position in the Army can be determined by those behaviors that are significant to the demands of the leadership role. The demands of these role tasks can be broken down into more accurately specified critical skills necessary to fulfill the requirements of the job. So we can define the range of behaviors necessary to be a successful football player, that is, he must be able to kick so far, pass so far, block so well and so on.

This approach has been used with significant success. As a result of the introduction of the assessment center concept organizations are now better equipped to assess individual weaknesses so better to train the manager to be prepared for his role. Typically the assessment methods include structured interviews, paper and pencil tests, oral and written communication exercises, situational tests, games and simulations. An essential and distinguishing aspect of assessment centers is the heavy emphasis upon the observer of the behavior of persons assessed in leader roles.

The aim of the assessment approach is to combine the input of multiple trained assessors (observers) into a single conclusion concerning the leader's (assessee's) competence. The results may then be used for (a) career or performance counseling; (b) identification of training needs;

and (c) evaluation of the effectiveness of an instructional program.

The assessment approach is rather straight forward. The steps are: (a) specify a set of leadership dimensions upon which to evaluate the personnel to be assessed; (b) develop simulations designed specifically to elicit behaviors relevant to the identified dimensions; (c) develop procedures and instruments for evaluating the relevant behaviors; and (d) develop materials suitable for training assessment center personnel to conduct the simulations and to perform the associated assessments [Ref. 4].

The Army has done some research in this area. At Fort Benning, Georgia, in 1973-1974 a pilot program was conducted to determine the feasibility of assessment centers for the Army. The Center assessed twelve (12) leadership dimensions in officers and non commissioned officers. The Fort Benning research team concluded that the investment was not worth the cost [Ref. 21: p. 12].

Many organizations have continued to successfully use assessment centers [Ref. 19]. Such firms as SEARS, AT&T, IBM, GE, Standard Oil (Ohio) use assessment centers because (1) the techniques are accurate predictors, (2) they offer a powerful learning experience for leaders, (3) there is a generally high acceptance of the results and (4) the methods are generally considered fair.

The American Management Association (AMA) conducts assessment laboratories for managers. The laboratories tell the managers their level of competency for each of eighteen (18) generic competencies identified as key to outstanding managerial performance. AMA charges \$2,100 per manager for the seven day audit and feedback sessions.

In 1979 the 4th Infantry Division (Mechanized) began a project which has resulted in the much acclaimed Leadership Assessment and Development (LEAD) Center. This two-week program for designated company commanders begins with a two-day assessment process in which the officer is assessed using four competency assessment instruments evaluated in small groups by trained observers. (The division claims to have identified probable command failures using their competency assessment instruments.)

The Center for Creative Leadership in Greensboro, North Carolina, does something similar for senior Army officers. They help the senior officer understand his weaknesses and strengths and how to correct them.

Due to the high cost of assessment center technology many efforts have been attempted to find less expensive alternatives. Marine Midland, for example, has developed a self-assessment instrument which they claim will help the organization development consultant to identify his strengths and weaknesses. This instrument and others that are just beginning to come into the forefront although

unproven, may eventually threaten the supremacy of the assessment center.

In summary, assessment technology is here for at least the foreseeable future. The tentative results are most encouraging.

#### E. JOB COMPETENCE ASSESSMENT (JCA)

A new assessment technology which is based on a research process coined by McBer and Company of Boston is called Job Competence Assessment (JCA). The objective of the process is to identify those generic competencies (behaviors) that lead to success for the role holder.

According to McBer "A competency can be any human quality: it can be knowledge, a category of usable information organized around a specific content area (for example, knowledge of mathematics); it can be a skill, the ability to demonstrate a set of behaviors or processes related to a performance goal (for example, logical thinking); it can be a trait, a consistent way of responding to an equivalent set of stimuli (for example, initiative); it can be a self-schema, a person's image of self and his or her evaluation of that image (for example, self-image as a professional); or it can be a motive, a recurrent concern for a goal, state or condition that drives, selects, and directs behavior of the individual (for example, the need for efficacy). A person may possess many of these characteristics, but by our

definition, if the knowledge, skill, trait, self-schema, or motive is not explicitly related to effective performance, it is not a competency" [Ref. 23: pp. 1-2].

David McClelland was one of the first researchers to indicate an interest in the concept of competency measurement. In his article "Testing for Competence Rather Than for 'Intelligence'" (1973), he indicated that the testing movement was in trouble. He explained that there was a consistently low correlation between I.Q. and job or life effectiveness [Ref. 23: p. 2]. The article encouraged the study of leader characteristics which are directly related to real-work outcomes.

According to McBer, the McClelland movement has significant implications for the job performance assessment process. The implications are: [Ref. 23: pp. 2-3]

- (1) Performance outcomes can be measured using competencies.
- (2) Critical task analysis alone will not identify the characteristics of outstanding prospective job holders.
- (3) The competencies of the outstanding performer can be directly related to training needs and career development.
- (4) Individual competencies must be considered from an overall performance perspective.

According to McBer the JCA process is based upon identifying the characteristics of effective performers and study what they do on the job that distinguishes them from the less satisfactory performers.



This approach to assessment is not without a precedent and empirical support. The work is firmly grounded on the work of McClelland (1961) and Glaser and Strauss (1967). Their work on achievement motivation and Flanagan's Critical Incident Interview technique (1971) round out the foundation for the JCA.

According to McBer the "biggest problem with existing leadership theories and measurement techniques is that they have strayed too far from leadership....The widely used behavioral measurement techniques such as the Ohio State, Fiedler, and Michigan questionnaires are not really measuring behaviors....In addition, because the instruments are administered to groups rather than individuals and the scores represent averages, actual leadership behavior may never be described" [Ref. 23: pp. 3-5]. (See Appendix E for a listing of dimensions of leadership derived from military job studies.)

This study is based on the behavioral theory as described by McBer. The data accumulation techniques used by this researcher keyed on the use of the already identified competency definitions. In most cases the competency definitions were formulated by McBer and Company as a result of several studies over the past five years. (There were other sources however McBer definitions for the competencies made up nearly 75% of those used.)

The long range impact of this view of behavior (competency) assessment and its implications are yet to be seen. Two studies done by McBer and Company for the services have proven to be worthwhile.

In 1979 the Army Research Institute (ARI) arranged a contract for the Organization Effectiveness Center and School (OECS) with McBer and Company of Boston to identify the competencies of the individual that underlies effective OE work performance. In 1982 the OE School's curricula was realigned to take full advantage of the identified competencies. An interesting off-shoot of this has been the use of computer controlled competency identification by OE consultants. The computer controlled interactive video with scenes of consultants in the field doing their job has a parallel and pre-coded computer following program. The consultant is taught through trial and error to identify those behaviors which are considered critical to success for an OE consultant.

The Navy contracted McBer and Company in 1976 to assist with the development of competency based Leadership and Management Education and Training (LMET) courses. By 1982 competency based LMET courses were offered at twenty-one sites. The sixteen fleet competencies identified by McBer and Company (gleaned from nearly 300 behavioral event interviews) address management and leader competencies for Navy personnel up to the grade of O-6.

In summary, competence is considered by this researcher to be the key to leadership assessment. Any instrument or process that does not consider role competencies as described above will likely fall far short of the mark.

#### F. COMPETENCY MODELS FOR THE RECORD

(The material in this section is primarily attributed to a recently published book, THE COMPETENT MANAGER, by Richard E. Boyatzis.)

##### 1. Overview

Most experts would agree that organizations need and want leaders to be able to reach their objectives and they must be able to do this efficiently and effectively. This infers that the organization needs to optimize its human capital output just as it optimizes the efficiency of its equipment and processes. (Ginzberg and Vojta define human capital as the "skill, dexterity, and knowledge of the population, has become the critical input that determines the rate of growth of the economy and the well-being of the population" [Ref. 24: p. 1].

It is the competence of the leaders that determines the return realized from the human capital investment. In order to retain or acquire the competent management team the organization must: know what that team, by member, is expected to do. Not only must the job be well defined but the individual must be employed efficiently and effectively.

One of the best ways to accomplish both feats is to use competency based models. The model should delineate such things as what kind of a person will be effective in a given organization and in a specific job. The implication should be clear, that is, filling the well defined job with the right person creates a panacea of sorts.

This model then becomes a template for personnel and production decisions. It has broad implications for: selection, promotion, firing, design of and assignment to leadership development activities, interpretation responsibilities for success or failure, communications to leaders as how to act and the design of systematic policies, procedures and programs.

## 2. Personalized Models

Every leader has a personal model or theory of leading. This impacts on what, who and how type decisions made by that person. Too often the tendency is to rely upon such characteristics like loyalty to the organization, seniority or consistent agreement with the boss as criteria for promotion and job selection. Is the Peter Principle alive and well or are we basing our personal decisions on the specific capabilities of the candidates?

There are four sources for our personal model of leading. They are:

(a) Models based on theories and panel discussions: Such models tend to be vague, that is, they espouse ambiguous

terms like dedication, thoroughness and creativity [Ref. 24: p. 7]. Such terms are difficult to measure or assess.

(b) Tradition based models: This theory foundation is sealed by personal experience; that which has worked for "me" in the past. This model is seldom systematically tested to see if it can differentiate between the competent and incompetent [Ref. 24: p. 7].

(c) Task and function analysis model: This model is formed by "experts" who study what leaders/managers do, that is, their duties and what the leader/manager is expected to perform. The product is a "model" or image of what competent leadership looks like. The problem with this approach is that its focus is on the job and not the person in the job [Ref. 24: p. 8].

(d) Observation based model: This approach is based upon systematic observation of and research into types of people in leadership jobs. The thrust is to attempt to systematically discover what competent leadership is [Ref. 24: p. 8].

Each of the model formulation techniques as articulated above likely focuses on the identification of effective performance in the job environment rather than on the person in the job. The obvious question is just what does effective job performance look like in a leader/manager? For the salesperson the answer is relatively simple. As for the R&D manager or the company commander the task is not

quite as easy. For the purposes of this research the definition for effective performance (in a generic form) is provided below:

"Effective performance of a job is the attainment of specific results (i.e., outcomes) required by the job through specific actions while maintaining or being consistent with policies, procedures, and conditions of the organization's environment" [Ref. 24: p. 12].

A pictorial definition of effective performance is provided at Figure 1.2. As this illustration suggests, effective performance will occur only when all three criterion components of the model are consistent: (1) job demands, (2) organization environment, and (3) individual competencies. If any of these components is inconsistent, inefficiencies or inaction may result. The three critical components are explained below:

- (1) Job demands component reveals primarily what a person in the job is expected to do.
- (2) Organization environment reveals some aspects of what a person in a management job is expected to do, how that person is expected to respond to the job.
- (3) Individual competencies component reveals what a person is capable of doing and why he may act in certain ways [Ref. 24: p. 16].

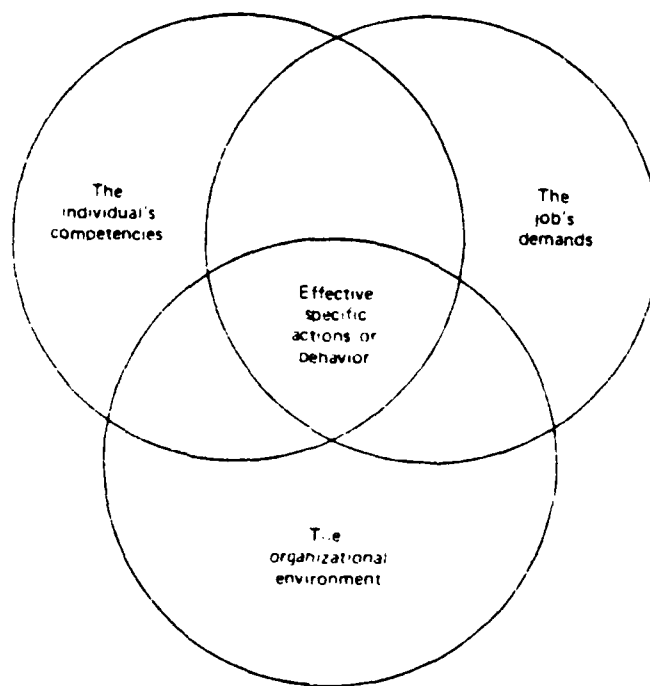


Figure 1.2 A Model of Effective Job Performance

### 3. What is a Competency?

A job competency is "an underlying characteristic of a person which results in effective and or superior performance in a job" [Ref. 24: p. 21]. A second definition says it is an "underlying characteristic of a person in that it may be a motive, trait, skill, aspect of one's self-image or social role, or a body of knowledge which he or she uses" [Ref. 24: p. 21].

To define a competency for a job one must determine what the actions were and their place in a system and sequence of behavior and what the results or effects were

and what the intent or meaning of the actions and results were. So in general terms a competency is the set of characteristics that are causally related to effective and or superior performance in a job. The implication is that possession of the characteristic precedes and leads to effective and or superior performance in the job.

A distinction is made amongst competencies. There are competencies which reflect a person's "generic knowledge, motive, trait, self-image, social role, or skill which is essential to performing a job, but is not causally related to superior job performance" [Ref. 24: p. 23]. These competencies are referred to as THRESHOLD competencies. An example is speaking the native tongue of one's subordinates. Generic competencies are those characteristics which discriminate between superior performance and average or poor performance.

#### 4. Levels of Competency

Different levels of a competency can exist. To have a thorough appreciation for the capabilities a person brings to the job, we must be able to differentiate among competency types and levels.

A competency may exist within an individual at various levels: (1) motives existing at unconscious level, (2) self-image at conscious level and (3) skills at behavioral level [Ref. 24: p. 27]. Each level will likely vary in its impact on the disposition of the use of the person's



competencies. This variability is reflected by the frequency with which the individual uses that competency on the job.

#### 5. Job Competence Assessment Method & Validation

The Job Competence Assessment (JCA) method was used as a guide in this research. The five (5) step process is indicated below [Ref. 24: p. 42].

I. (1) Step: Identification of criterion measure; (2) Activities: Choose an appropriate measure of job performance and collect data on leaders/managers; (3) Results: Job performance data on leaders/managers.

II. (1) Step: Job element analysis; (2) Activities: Generate list of characteristics perceived to lead to effective and/or superior job performance; obtain item rating by leaders/managers; compute weighted list of characteristics; analyze clusters of characteristics; (3) Results: A weighted list of characteristics perceived by leaders/managers to relate to superior performance; a list of clusters into which these characteristics can be grouped.

III. (1) Step: Behavioral event interviews; (2) Activities: Conduct behavioral event interviews; code interviews for characteristics or develop the code and then code the interviews; relate the coding to job performance data; (3) Results: A list of characteristics hypothesized to distinguish effective and/or superior from poor or less effective job performance; a list of validated characteristics, or competencies.

IV. (1) Step: Tests and measures; (2) Activities: Choose tests and measures to assess competencies identified in prior two steps as relevant to job performance; administer tests and measures and score them; relate scores to job performance data; (3) Results: A list of validated characteristics, or competencies, as assessed by these tests and measures.

V. (1) Step: Competency model; (2) Activities: Integrate results from prior three steps; statistically and theoretically determine and document causal relationships among the competencies and between the competencies and job performance; (3) Results: A validated competency model.

Due to the resource constraints all five steps were not followed in this research. Beginning with step three the author studied competency models assembled by McBer and Company for the armed services. A list of forty-four such competencies with operationalized definitions were aggregated for testing. The instruments which were used to accumulate the data (competencies) were explained in Chapter II, Research Design and Methods of Study.

Validation of the aggregated model, as to be explained in Section B of Chapter III, requires a statistical use of the measure of job performance. The measure (criterion measure) can be done in three possible ways: (1) supervisory nominations or ratings; (2) peer nominations or ratings; and

(3) work-output measures [Ref. 24: p. 44]. (A combination of (1) and (2) above were used in this research.)

The confidence the user of the research has will likely hinge on the validity of the findings. This will likely be a function of the degree of confidence that the selected measure is a measure of the performance in the job being examined.

Two ways have been suggested which can establish confidence in the criterion measure. They are: (1) must be a direct reflection of the work to be performed; and (2) supervisory and peer judgments [Ref. 24: p. 44].

The last is the basis for validation of the model of this research. The techniques are explained in Chapter II and the results will be analyzed and aggregated in Chapter III.

In summary, the construction of job models has significance for the organization interested in efficiency, effectiveness and retention of competent personnel. Successful efforts to construct competency based job models, although still experimental, have significant implications for the use of human capital in the Army. (The breath of the success of competency models and the implications for the future will be discussed in Chapter V, Implications for the Future.)

#### G. OBJECTIVE OF THE THESIS

(1) Develop a "success" oriented competency based model of 10 to 15 competencies for the role of the Army company commander.

(2) Develop a pre-company command self-assessment and development instrument based on the "success" model above and provide a mechanism for focusing the participant's attention on a plan to re-direct or learn behaviors critical to success in company command.

#### H. DESIGN AND ORGANIZATION OF THE THESIS

The introductory chapter of this thesis has focused the reader's attention on the theories of leadership and how they have led to the current assessment center research and job competence assessment technologies.

Chapter II is where the study actually begins. In this chapter the author will explain the methodology of the research. First the research design will be explained. Second the manner by which the thesis data was generated will be described from inception to final product.

In Chapter III the analysis of the data accumulated will be discussed. This will include questions of validity, the techniques used and assumptions made.

Chapter IV explains how and why the Pre-Command Self-Assessment Instrument was designed, how the "key" was validated and other important issues.

Chapter V will bring the study together. Here the results and analysis will be presented along with conclusions and recommendations.

#### I. DISCLAIMER

When used in this thesis, "he," "him," "his," and "men" represent both the masculine and feminine genders unless otherwise stated.

## II. RESEARCH DESIGN AND METHODS OF STUDY

### A. ADMINISTRATIVE PROCEDURES

The conduct of a study of this nature presented numerous administrative problems. Paramount of these problems was obtaining and maintaining cooperation and support at various organizational levels, identification and selection of personnel to complete the questionnaire, participate in the workshops and consent to interviews. Being an Army officer made the solicitation of cooperation considerably easier and better able to understand the circumstances of the problems and restrictions imposed by the participants.

Several prominent administrative details are provided for consideration.

(1) Information Assistance: Assistance was sought and received from the following sources:

a--Army Research Institute (ARI) at Monterey, California and Alexandria, Virginia

b--Leadership and Ethics Center at Fort Leavenworth, Kansas

c--Assessment Center information was provided by the LEAD coordinator at Fort Carson, Colorado.

d--Computer searches were conducted by the NPGS library staff via DIALOG Information Services, Inc. and the Defense Technical Information Center (DTC).

(2) Materials and Equipment Requirements: The following materials and equipment were used to support this study.

a--The NPGS's IBM 3033 was used for analysis of accumulated data as well as word processing.

b--Drafting and formatting support for the handbook was provided by the drafting staffs at both the NPGS and the Organizational Effectiveness Center and School (OECS).

c--A special microphone and tape recorder were provided by the Educational Media Department at the NPGS.

d--Franked mailing materials were used for survey responses.

(3) Thesis Travel Requirements:

a--Frequent trips to Fort Ord to interview senior commanders, conduct the battalion commanders' workshop and discuss the thesis work with the thesis advisor.

b--Travel funds were provided by the Army's Military Personnel Center (MILPERCEN) to travel to Fort Carson and Fort Benning. The request was made in accordance with the provisions outlined in Fort Benjamin Harrison SSC PAM 600-5.

1--The Fort Carson trip was made to validate the self-assessment instrument.

2--The trip to Fort Benning was made to administer the validated instrument to IOAC students and to interview battalion commanders in the 197th Infantry Brigade. (The trip was also made in conjunction with the curriculum practical experience tour at the NPGS.)

(4) Thesis Time Schedule:

Jan 1983	Thesis proposal
Jan-Mar	Literature search
Apr	Develop and pre-test questionnaire
Apr-May	Develop/pre-test/conduct workshop
Apr-Oct	Questionnaire data accumulation
June-Aug	Develop self-assessment instrument
Aug	Validate instrument at Fort Carson
Sep	Administer instrument to IOAC students
Dec	Complete thesis

B. OVERALL DESIGN

The research design focused on the following variables:

(1) availability of data sources, (2) time and (3) travel funds.

The focus of the study was two fold: (1) develop a competency based model for the role of the company commander and (2) develop a competency based self-assessment instrument for prospective company commanders.

The first objective was approached systematically. After a thorough literature search, a decision was made to gather data three ways: (1) questionnaire, (2) interview and (3) workshop. The multi-sourced data base would provide better validity. A detailed explanation of each data source follows in Section C.

The second objective was to develop a competency based self-assessment and development instrument. The production



of this instrument hinged on the model generated by the accumulated data. Chapter IV addresses the development of the self-assessment instrument. (See Figure 2.1, Thesis Design.)

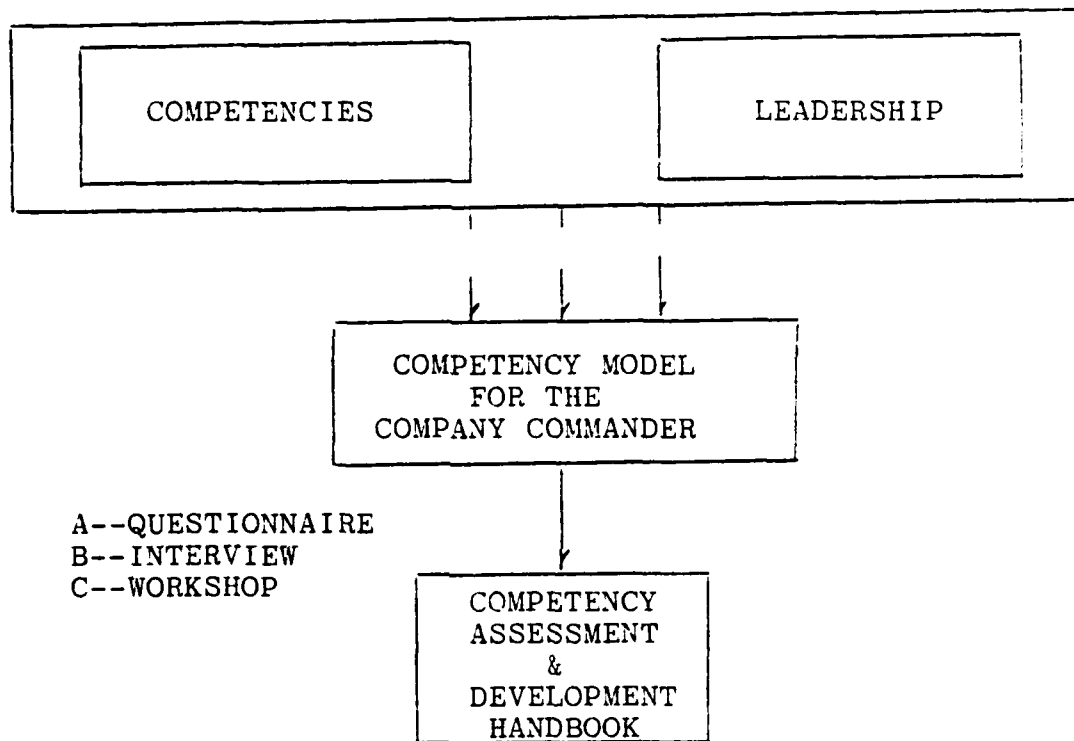


Figure 2.1 Thesis Design

### C. RESEARCH INSTRUMENTS

Three research instruments were designed and used to gather the data for this study.

#### 1. Company Commander Competency Model Questionnaire

A--Precedent: Survey instruments have been used previously by the 4th Infantry Division to help ascertain a

generic competency model for the role of the company commander. Their methodology was to first aggregate a list of traits and skills associated with success in company command. Subsequently the division OE staff in cooperation with Development Dimensions International of Pittsburgh, Pennsylvania, assembled a questionnaire to help construct a company commander model. Their questionnaire listed a group of competencies and asked the battalion commanders to rank order their responses. The ordering was directed to be in-accordance-with success in command.

B--Design: The questionnaire used by this author followed the precedent established by the 4th Infantry Division. First the author identified forty-four (44) competencies with associated operationalized definitions. Roughly 75% of the competencies were extracted from studies done by McBer and Company for the services, e.g. the Army JO study, OECS study and the Navy LMET study. Other competencies and associated definitions were taken from the 4th Infantry Division's list and a few were formulated by the author based upon the literature search. Those competencies proposed by the author include: creativity, written communication skills, technical proficiency, energy, sets ethical example and tolerance for stress. (A copy of the questionnaire is at Appendix A.)

C--Pre-Test: The original instrument was pre-tested with twenty-five (25) Army and Marine Corps students at the

Naval Postgraduate School in April 1983. (All participating students tested were former company commanders.) The pre-test participants made recommendations as to format and instrument directions. Subsequently the questionnaire was re-designed to better accommodate the respondent. Some of the adapted recommendations include:

- (1) Highlighting the competency names for ease of identification
- (2) Arrange the competencies in alphabetical order
- (3) Provide a listing of all competency names in alphabetical order on a single summary page
- (4) Clarify the directions.

D--Administration of the Questionnaire:

Questionnaires used for gathering data across the Army must be officially sanctioned before they are initiated. This special permission process is cumbersome and not time sensitive. Due to this barrier the author jeopardized randomness. The next best choice was to seek permission of the local commander. This was done on a case by case basis at the NPGS, 7th Infantry Division and the Defense Language Institute. Additionally, through a series of mailings and personal requests more than one hundred former or present company commanders completed the questionnaire. In total nearly five hundred copies of the questionnaire were distributed. Approximately 25% of the questionnaires were returned completed.

Many officers commented on the difficulty of the questionnaire. They indicated that it took them between 30 and 60 minutes to complete. Others indicated that only the top ten competencies were of any value. A few wrote long letters expressing their model of leadership.

#### E--Scoring of Questionnaire:

The results from each questionnaire were transcribed to a master sheet. Subsequently the results were fed into a computer data file. The analysis and statistical tests were conducted using a computer package designed by Professors at Pennsylvania State University called Minitab.

#### F--Data Processing:

The mean for each competency was computed. The competencies were then rank ordered based upon their means.

(NOTE: The author performed significance tests on the accumulated data to ascertain whether there was a "best" partition point. The results indicated partitions near the eighth competency and at approximately the three-quarter point. Given the size of the data sample and the lack of randomness the author chose not to pursue this analysis further.)

## 2. Senior Officer Interviews

A--Precedent: Part of the methodology of competency model construction research to date has included interviews of subject matter experts. There is likely no better

subject matter expert concerning what makes a successful company commander than current battalion commanders.

B--Source of Data: Battalion and brigade commanders in the 7th Infantry Division and 4th Infantry Division (Mechanized). They represent a cross section of infantry commanders in the Continental United States (CONUS). (A better sampling would have included battalion commanders in USAREUR, Korea and elsewhere.)

C--Interview Design: The interviews were structured and lasted between 30 and 45 minutes. The first of the two part interview was a competency identification exercise. The commander was given an alphabetized listing of 44 competencies with operationalized definitions. The commanders were then given the following instructions:

1--Roughly half of the listed competencies are truly significant to being a successful company commander. Circle those which you think fall in this category.

2--Of those competencies that have been circled, place a star by those most frequently used by a successful company commander.

Once the commander completed the first part, the second part, the oral part, began. (The responses were taped with the permission of the respondents.)

The commander was asked to respond to each of the following two questions.

1--Out of all company commanders which stick in your mind as being successful, describe a specific event that proves he is/was successful. Please be specific and tell me what he did.

2--Now describe a command incident in which a company commander blew it. Please be specific and tell me what he did.

D--Coding of Interviews: Each interview was coded in the following manner. Of the 44 competencies considered by this author each competency could accumulate up to three points. One point was counted if the respondent circled the competency. A second point was awarded if the respondent placed a star by the circled competency. A third point was awarded to the competency if it was mentioned during the oral responses as being key to success.

The scores for each competency by respondent were fed into a computer file. Minitab was then used to calculate the mean and standard deviation. The means were subsequently rank ordered.

### 3. Battalion Commander Workshop

A--Precedent: The best of the author's knowledge this process is original.

B--Workshop Design: The author selected the 27 top ranked competencies based upon 50 questionnaire responses. Subsequently 10 infantry officer profiles were formulated. Between 4 and 5 competencies were then written into sketches

for each officer. The sketches were written as if they were provided by the officer's rater and senior subordinate. It was emphasized that the sketches were realistic and not to be regarded as officer efficiency reports.

Four infantry battalion commanders were assembled in a distraction free setting. They were told that they were to view the following exercise as if it were a promotion board in Washington. The commanders were given copies of the 10 sketches with military and personal biographical information. They were directed to choose three of the ten. The three would immediately assume command of infantry companies that would go into a combat like situation. Additionally the battalion commanders were told that one of them would command the special task force.

C--Pre-Test: A pre-test was conducted on 5 May 1983 at the NPGS. Three combat arms officers participated: one infantry officer, one artillery officer and one air defense officer. Their participation confirmed the expectation that the workshop would work. Questionnaires were completed at the end of the pre-test. Appropriate adjustments to the workshop content and logistical considerations were made.

D--Coding the Workshop: The workshop was tape recorded. The discussions amongst participant commanders was key. The frequency of references to each competency was noted and the explanations of the rationale for the final selections were aggregated. After listening to the session

three times, counting each competency, thirteen competencies were identified as key to the selection designs. (See Appendix B, Battalion Commanders' Workshop.)

#### D. SUMMARY

The data base for the construction of a model of this sort is lacking. Regarding the questionnaire, a random sample of 400 plus former company commanders would have been desirable. This was precluded because of Army policy and the time restrictions. The battalion and brigade commander interviews provided a limited view of the competency model for a company commander. Possibly more reliable data would have been generated if the sampling had been done across the entire Army. Finally, the innovative battalion commander workshop worked but needs additional replications to substantiate the results.



### III. COMPETENCY BASED MODELS

This chapter is divided into three sections. The first section analyzes the data accumulated by means of the three sources introduced in Chapter II, Research Design and Methods of Study. The second and third sections explain how the data was aggregated into a single competency based model for the role of the company commander.

#### A. DATA ANALYSIS

The methodology for the accumulation of the data has been explained in Chapter II. This section will discuss the data accumulated and hypothesize what it means. The data sources will be discussed separately.

(1) Questionnaire: There was no clear demarkation line between the 15th and the 16th competency. The first six competencies were clearly (statistically) the choice of the sample, that is, their means and standard deviations were relatively small.

Several detractors need to be mentioned. First the aggregation of responses across a sample population represent most Army branches. Once the results of just infantry officers or just combat arms were segregated the results were somewhat different. These differences are shown below:

### Infantry Officers

1. Plans & organizes
2. Takes initiative
3. Develops subordinates
4. Effectively uses resources
5. Decisiveness
6. Delegates
7. Responsible
8. Judgment
9. Flexibility
10. Technical proficiency
11. Sets goals & performance standards
12. Oral communication skills
13. Team builds
14. Disciplines
15. Listening skills

### Combat Arms Officers

1. Plans and organizes
2. Develops subordinates
3. Effectively uses resources
4. Decisiveness
5. Takes initiative
6. Judgment
7. Delegates
8. Responsible
9. Flexibility

10. Oral communication skills
11. Disciplines
12. Job involvement
13. Manages to standards
14. Self-confidence
15. Team builds

As an aside the trial survey results from twenty-five (25) officers who completed the draft of the questionnaire provided a competency model as follows (shown in rank order): (1) develops subordinates, (2) plans and organizes, (3) takes initiative, (4) effectively uses resources, (5) sets goals and performance standards, (6) delegates, (7) decisiveness, (8) self-confidence, (9) team builds, (10) responsible, (11) job involvement, (12) manages to standards, (13) realistic positive regard, (14) influences and (15) oral communication skills.

A larger sample size may well surface significant differences amongst general competencies by branches (See Appendix A for detailed data listing).

(2) Interview: Ten infantry commanders were interviewed for this study. The officers were from active Army divisions (the 7th and 4th). Three were brigade commanders, one was a CofS and one was a G3; the others were battalion commanders.

The model for the commanders was formulated in accordance with the methodology described in Chapter II. All but one of

the outstanding company commander examples was that of a company commander in a training scenario. The successful company commander was considered successful because he was decisive, took the initiative, was flexible and could plan and organize under pressure. An overriding characteristic of the successful company commander was that he took care of his subordinates by coaching and developing them as the opportunity permitted.

Technical proficiency was considered a discriminator because, based upon interview results, those company commanders who were not technically proficient generally failed in the tough situations. Although the officer had many of the other generic competencies his lack of technical proficiency significantly encumbered his ability to get the job done. (This observation has empirical support from a previous study by situational theorists. In an earlier chapter a study of high school students who rose to assume leadership of the leaderless group was based upon the type of skills required. In most cases those who had the intellectual skills rose to the leader position when such was required. The same was true when the mechanical abilities were required. This may be a vague application of the situational theory in terms of competency applications.)

Assertive was ranked high on the senior commander competency list because they want company commanders to get things done NOW. One commander noted that while evaluating

several National Guard and Reserve units at Camp Ripley, Minnesota, assertiveness was lacking in most units. This deficiency impaired the unit's ability to accomplish the mission. Another commander indicated that assertiveness was essential for the successful company commander at the National Training Center.

(In all probability, reflecting upon the questionnaire results, had interviews been conducted with (questionnaire) respondents in lieu of questionnaires, a different model may have resulted. Additionally, the questionnaire results indicate what appears to be a difference of models across the branches. Although the data is inconclusive this has significant implications for the branch schools. This suggests that the branch schools should be following branch peculiar competency based models in their courses. The models should be tailored to the grade and role of the individual being trained. The mere possibility of such a dichotomy should encourage branch chiefs to seriously study branch peculiar competency based models.)

(3) Workshop: This exercise was both discouraging and encouraging. It was discouraging in terms of results because of the difficulty of staging such a workshop. Generally only one or at most two such workshops can be staged in any Army division. The dictating factors are the number of available battalion commanders and the time they are available. The results were further complicated because

the exercise was conducted only one time with a set of four battalion commanders. Certainly, multiple workshops across the Army would have added to the validity and the rank ordering of the competencies generated by the workshop.

The workshop method is considered by this author to be a reliable method for generating a reliable competency model. The potential for gathering rich data is excellent. The key is capturing the information and categorizing it into the appropriate competency, either by means of frequency counts or by association with positive or negative situations. The use of multiple assessors will likely reinforce the quality and quantity of the data gathered. The results of this exercise certainly warrant further investigation.

Several reservations concerning the workshop design are indicated below.

a--Balance the biographical data across the officer candidates so not to influence (inappropriately) the participants. The participants did "read into" the officer's secondary specialty and his recent assignment listings. This encumbered the process.

b--The setting for the workshop must be free of distractions and away from the commanders' work site. The tendency for the commanders to be captivated by the routine demands and not to concentrate on the task at hand was almost overwhelming.

An attempt to rank order the competencies based upon frequency was not made. The author felt that such an effort, due to the lack of multiple replications of the workshop, made such an attempt meaningless.

#### B. GENERIC COMPETENCY MODEL FOR THE COMPANY COMMANDER

(1) Introduction: Numerous competency models for different military and civilian roles are provided at Appendix E, Other Competency Models. Each model was constructed using relatively the same approach. (The approach is explained in Chapter I.)

The three instruments designed and used by this author produced three different models. The models are however similar in many respects. The author capitalized on these similarities in constructing a single competency model for the company commander.

(2) Methodology: The author listed the first fifteen (thirteen for the workshop) competencies. The first step, without regard to their ranking, was to list those competencies in common with the models derived from all three instruments. The competencies are: (1) plans and organizes, (2) effectively uses resources, (3) takes initiative, (4) delegates, (5) develops subordinates, (6) decisiveness, (7) team builds, (8) manages to standards.

Secondly, the author identified the following competencies in common between the questionnaire and the interview data (this list excludes those already listed): (1) judgment,

(2) flexibility, (3) sets goals and performance standards, (4) sets ethical example and (5) tolerance for stress.

There were five competencies identified by the workshop participants which did not occur in the top ranked competencies of the other models. They are: (1) positive expectations, (2) realistic positive regard, (3) self-control, (4) applies rewards equitably and (5) energy.

The fact that there is a notable difference among the models is attributable to the experimental nature of the workshop. Appendix B deliniates many of the problems associated with the workshop which likely contributed to a somewhat distorted model.

#### C. COMPANY COMMANDER COMPETENCY MODEL

The model promulgated by this author includes only the competencies indicated in paragraph (2) above. The author contends that these competencies (13 in all) are generic competencies which can be used to discriminate between average and outstanding company commanders.

Each of these competencies is included in the handbook model. Special attention should thus be given to their development in prospect company commanders.



#### IV. U.S. ARMY PRE-COMMAND SELF-ASSESSMENT HANDBOOK 1983

##### A. HISTORICAL PRECEDENT

The design of the self-assessment instrument was not wholly original with this author. The Organization Development (OD) Division of the American Society of Training and Development in cooperation with the U.S. Army's Organizational Effectiveness Center and School developed an organization development practitioner's self-development guide. (See Handbook at Appendix D.)

The purpose of this guide "is to help OD practitioners review what they do well, identify areas they may wish to improve and develop plans for strengthening skills. Practitioners can also use this guide to identify sources of information about specific skill areas in need of further development."

The OD self-assessment instrument provides a definition of OD and a list of the five phases of OD. Each step requires the display of several traits, skills and characteristics (competencies). These competencies have previously been identified by McBer and Company as generic competency discriminators for the OD practitioner. These competencies are the conceptual foundation for the five OD phases.

The instrument lists those competencies which apply to each OD phase. Beneath each competency are multiple definitions (activities) for the competency. The respondent is directed to indicate the skill importance and his current skill level for each competency. The total score for the skill importance across all competencies by phase and all skill levels by phase are totaled. The phase totals for skill importance and skill level are transcribed onto a scoring grid. The difference between skill importance and skill level are calculated.

The scoring instrument reads "the difference between your assessment of your skill competency and the importance of these skills to your job" indicate whether the respondent is weak or strong in that phase. The directions indicate that a high positive score in the difference column indicates an area that needs improvement. Conversely a negative score or a zero indicates that skill level is sufficient for the respondent's present position.

The instrument guides the respondent into a development planning phase. The focus is a self-development planning process which uses cognitively oriented training resources.

Several criticisms of this instrument are in order. First the instrument relies solely upon the respondent's input. A respondent who does not understand the importance of the listed OD competencies to the specified OD phase is in trouble. Second, the respondent who does a poor job of

self-assessment further distorts his result. Finally, the respondent has nothing to compare his best guess against. This is a serious flaw.

#### B. COMPETENCY ASSESSMENT AND DEVELOPMENT INSTRUMENT DESIGN

The intent of the instrument from inception has been to provide an instrument which the respondent can compare himself in terms of company commander competencies against officers in command who are considered successful.

Several significant obstacles had to be conquered before the project could get started. They were:

- (1) Determine the generic competencies for the company commander.
- (2) Determine how to measure success.
- (3) Determine how to compare the respondent's input with that of inputs from "successful" company commanders.
- (4) Determine how to identify competency weaknesses and strengths.
- (5) Determine how to direct the respondent in action planning to strengthen those competencies noted as in need of strengthening.
- (6) Determine the instrument format and design.

Each of the above issues is discussed below.

(1) Generic competencies for Company Commanders: Twenty-five (25) competencies were extracted from the original list of forty-four (44). These competencies were selected based upon survey, interview and workshop data. With the exceptions of "conceptualization" and "creative," all selected competencies were selected because they were

considered significant discriminators between the average and the superior company commander performer. The last two competencies were included because the literature overwhelmingly supports their inclusion. Two organizations, Creative Think of Menlo Park, California, and The Center for Creative Leadership, Greensboro, North Carolina, strongly contend that the "creativity" and "conceptualization" competencies are critical to managers, especially senior managers.

The competencies were clustered into five clusters based upon clustering performed for other studies. No factor analysis of behavioral event interviews were performed because no behavioral event interviews were conducted. The clusters identified are: (1) mission, (2) professional preparedness, (3) influence, (4) directing subordinates and (5) diagnostic ability.

(2) Success: A definition of success is hard to write (especially in terms of a company commander). In lieu of a definition the author chose to provide a sketch of an officer who appears to be a "successful" company commander. The sketch is loaded with thirteen generic competencies for the role of the company commander. The sketch was written as if it were provided by the battalion commander of the company commander and by the company commander's first sergeant.

The directions in the handbook direct the respondent to consider the "appearance" of success in providing his responses.

(3) Comparing Responses: Skill importance and frequency seem to dominate the assessment literature. The author thus chose to direct the respondent to indicate the importance of the indicated activity (behavior) to being a "successful" company commander. The respondent was also directed to indicate how frequently he foresees doing the indicated activity given that he was in command at "this" time. The combination of these responses subsequently generated a matrix score which was extracted from a specific matrix scoring diagram.

The author decided to compare the respondent's input with that of above average and outstanding company commanders in the field. This was done by taking the instrument (Parts I-III) to Fort Carson, Colorado, where the author administered it on current company commanders.

Company commanders from three mechanized infantry battalions were given the instrument. They were advised that their input would eventually be used as the "key" for the Pre-Command Self-Assessment Handbook.

The author validated the company commander inputs by interviewing the respective battalion commanders. The battalion commanders were asked to indicate via a senior rater's profile where he ranked his company commanders against each other and against all company commanders who he had ever observed. The battalion commander was also provided a list of twenty-five (25) competencies (the same competencies

in the handbook) and asked to indicate whether each company commander was either strong, weak or neither in terms of each competency. (See Appendix D for the validation instruments.)

The author had worked for and with two of the three battalion commanders during previous assignments. In the opinion of the author the previously established professional relationships partially insured the validity of the data provided.

The author aggregated the results across the three battalions. Only the handbooks of company commanders identified as above average or outstanding by their battalion commanders were used. Additionally, of those company commanders identified as above average or outstanding who indicated they were strong in a generic competency which was not validated by "his" battalion commander, that competency score was eliminated from consideration. (See Appendix E for the aggregated data.)

The solution range for each activity was based upon the actual range of the responses provided by the company commanders. In a few cases, where a single score was clearly out of sink with the others, the score was eliminated from consideration.

The allowable variance choice was a subjective call by the author. The author examined the solution range for each activity and the number of activities and made a determination.

In the case of a competency being defined by three or less activities a zero variance was allowed. In the cases where four or more activities described the competency the decision was based upon the width of the individual solution ranges--broad ranges discouraged the allowance of a variance.

The solution range for each activity was checked against responses provided by ten CAS cubed students at Fort Leavenworth, Kansas. This was done to ascertain whether there might have been an unknown environmental factor influencing the scoring of the Fort Carson company commanders.

(4) Competency Weakness Identification: The methodology for identifying whether the respondent is weak in a given competency is rather simple. For each competency the respondent is required to list his matrix score for each activity which describes the given competency. If the respondent's scores are outside the solution range for the given activity the respondent is directed to circle the matrix score. If the total number of circled activities for each competency exceeds the allowable variance then the respondent has identified a competency that might need to be strengthened. The respondent will follow the same procedure for all twenty-five competencies.

(5) Action Planning: The author's approach is to encourage the respondent to seek confirmation of the

identified competency weakness. The methodology is explained in the handbook.

Next the respondent is directed to work on a self-improvement plan, competency-by-competency. A format and technology is provided.

(6) Instrument Format: The 36 page handbook is subdivided into five parts. (See Appendix D for a copy of the Handbook.)

Part I explains the focus of the instrument, the time requirements and briefly defines a competency in terms of soldiering. The respondent is also advised about the degree of applicability of the instrument and finally is cautioned about the utility of the instrument.

Part II is entitled the sketch of the "successful" company commander as described in (2) above.

Part III is entitled "Your Competency Model." The activities representing each competency are randomly placed on colored pages by dimension. The maximum number of activities listed is 20 and the minimum is 10. The last page of this part explains how to determine the matrix scores. Examples and directions are provided to guide the respondent.

Part IV is described in (4) above. The pages are color coded by dimension to facilitate ease of transcription of matrix scores from Part III to the corresponding dimension in Part IV. The last pages of Part IV include the success



oriented competency based models as generated by survey, workshop and interview. Finally, a listing of all 25 generic competencies and their associated activities is provided.

Part V is entitled "Now What?" This part directs the respondent through a systematic development planning effort. To assist the respondent in developing the best possible plan he is provided with a resource list by dimension. The resources reflect both military and civilian literature which may assist the respondent in his efforts to strengthen identified competency weaknesses.

#### C. INSTRUMENT OBJECTIVE

The objective is simple: provide the officer who has never commanded a company an opportunity to compare his generic competencies against those of successful company commanders. The identification of dramatic differences should be sufficient encouragement for the officer to come to grips with his weakness(es) and subsequently strengthen those weak areas prior to assuming command. (The instrument is also helpful to those who are relatively strong across the range of generic competencies. It offers an opportunity to reinforce behaviors and to research ways of improving or looking at others.)

#### D. CHECK VALIDATION BY CAS CUBED

(1) Introduction: The author contacted the operations officer at CAS Cubed Fort Leavenworth, on 25 July 1983. The purpose of the contact was to solicit support for a check validation by ten (10) CAS Cubed students.

The request explained both telephonically and in a follow-up letter that ten outstanding combat arms CAS Cubed students who had already commanded companies be asked to volunteer to assist in the validation of the instrument. The copies forwarded to Fort Leavenworth had a cover letter explaining the purpose of the validation. (See Appendix D, Section C, for the cover letter.)

(2) CAS Cubed Data: All handbooks were completed by CAS Cubed students and returned to the author by mid-August. Several assumptions were made regarding the completed handbooks:

- a. All participants were Army captains enrolled in CAS Cubed, August 1983.
- b. All participants volunteered, that is, no coercion was applied.
- c. All participants were combat arms officers who had successfully commanded at least one company.
- d. All participants provided honest inputs.
- e. All participants fully understood the directions for completing the handbook.

f. All participants had been above average or better company commanders.

In all probability the above assumptions are not valid across the sample. The author did however make several efforts to insure these parameters were enforced. First the CAS Cubed operations officer was briefed as to the nature of the study, the validation effort at Fort Carson and the necessity to have a reliable check. Additionally a letter explaining the desirable participant profile accompanied the validation handbooks. Secondly, the instruments were forwarded through the Leadership and Ethics Center staff. This staff was most cooperative in assisting the author throughout the study. Additionally, they may well profit the most from the outcome and in all probability this author will become a member of that staff upon graduation.

(3) Comparing CAS Cubed and 4 ID(M) Data: The intent of conducting a check validation is to ascertain the relative reliability of the data base. In the event significant discrepancies are found the author must make a subjective call and adjust the solution range for the concerned behavior. The mechanics of the process are listed below:

a. CAS Cubed matrix scores (extracted from the ten completed handbooks) by behavior and phase were first accumulated on a single phase sheet and individual scores were circled if they fell outside the solution range determined by the 4 ID(M) data.

b. If more than three matrix scores (CAS Cubed) fell outside the 4 ID(M) data, the behavior (activity) was considered for adjustment, up or down.

c. Fifteen behavior (activities) solution ranges were considered for adjustment. Of those considered five were adjusted up, six were adjusted down and four remained unchanged. This translates to 16% alteration of the original solution ranges due to a cross check with CAS Cubed scores.

d. The author's primary consideration for each adjustment decision was to capture at least 80% of the scores in the combined samples. Scores significantly outside the solution range (outliers) were not considered.

(4) Researcher's Caution: Due to the size of the validation sample and the size of the check sample, the derived matrix scores are suspect. The change of 16% of the solution ranges by activity which resulted from a comparison of the samples was a subjective call by the author. If both samples are indeed representative of all current and former above average or outstanding company commanders then the data (solution ranges) are accurate. Future studies should verify these scores via significantly larger sample sizes.

## V. IMPLICATIONS, CONCLUSIONS AND RECOMMENDATIONS

This chapter is divided into three sections. The first section proposes the broad implications for personnel assessment technology based on competencies in the Army. The second section will draw several conclusions from the products of this study. The final section will make several recommendations concerning future research and where the author believes competency assessment can best help the Army.

### A. IMPLICATIONS FOR COMPETENCY ASSESSMENT AND THE FUTURE ARMY

#### 1. Introduction

Competency assessment and competency based personnel systems have significant implications for the future of the Army. Competency assessment is significant because it is a systematic technology. In the past many senior Army officers have viewed human resource systems as soft and difficult to quantify. This perspective has influenced these leaders to settle for human capital assessment methods and techniques which do not compare in rigor and soundness to their choices for weapon system testing and process research.

Leaders who do not believe people can be trained or developed to perform jobs efficiently will identify human problems as a selection or promotion problem [Ref. 24:

p. 244]. Common place have been views such as "if we could just get the right people, this inefficiency would stop." Some senior leaders respond to personnel failings by firing the lot of them. They conclude "Some new blood, that's what we need." Typical of this mentality have been the cases of Army officers relieved (fired) for poor performances at the National Training Center (Ft. Irwin) or during the annual Reforger. Is this good for the Army?

## 2. Competency Based Models

Trans American Corporation of San Francisco has defined its management and executive positions with competency based models. They scientifically discovered those generic competencies related to effective performance of each position in question. They studied the environment of the job and subsequently developed and tested a range of positions and job families. The end product is a model for each position that is valid across the job family.

Trans American Corporation uses these models for placement and evaluation of performance. The reports of significant validity within the models have been encouraging.

## 3. Job Design

If the job does not fit the employee (leader/manager) then redesign the job. This may not be a viable option for many organizations, but it does warrant some attention. The premise is that if we design jobs to allow leaders to use their generic competencies the results can be beneficial for

both the organization and the employee. This "fitting" process begins with identifying and clarifying the competencies of the leader and the constraints of the job; seek a fit as explained in Chapter I, Section F. In a flexible organization this approach can be extremely profitable.

#### 4. Selection and Promotion Systems

Are one's generic competencies directly related to effective performance in a given job? Given the "fit" described in Chapter I, the answer can be yes. Unfortunately our selection processes do not assess competencies as much as they assess performance of job functions. What do Army promotion boards measure in making their decisions? Who does the board select? What about the person who has developed the competencies for the job and rank but has not had the opportunity to demonstrate those competencies in a job directly related to the job being considered? Will such a person be overlooked during a typical screening process? A competency based selection process would identify such an individual and preclude overlooking potentially effective performers.

If the Army wants to develop and implement a competency based selection and promotion system it must conduct studies to validate competencies against performance in each branch by level of command.

## 5. Performance Appraisal

In order to have a selection and promotion system based on competencies, first a competency based performance appraisal system must be on line. This appraisal system must focus generally along two lines: (1) assessment of "recent" performance and (2) assessment of recent development and identification of future development needs.

The rated soldier's "recent" performance must be measured against output objectives and tasks accomplished. The second line of approach should be in terms of competencies displayed during the period being evaluated and targeting on the competencies to be addressed during the next performance period.

## 6. Succession Planning and Career Pathing

Most Army officers are aware of "the" path to success in their branch. For the combat arms officer there are platoons to lead, companies to command, staff positions to hold, schools to attend and et cetera. The path to success seems to be unrelated to the individual's generic competency set. Career pathing as promulgated by the Army culture has not optimized performance across the officer corps. The implication has been that despite your generic competencies, you must adhere to the "articulated" model otherwise fail to "succeed."

A succession planning and career pathing system should offer options to facilitate the development of



competencies needed to perform effectively in current and future jobs. The Army must not leave the development of generic characteristics to chance. A competency based and thoroughly integrated career pathing system can facilitate the development of the necessary characteristics and insure the organization has sufficient qualified personnel to command the battalions, brigades, divisions and so forth. Early identification of personnel who might do well at the top will permit for effective and not random career planning. This is an example of working smarter and not necessarily harder.

#### 7. Career Planning

Competency based models that address the organization's current and projected needs will permit timely and correct career planning. Jobs which progress up the organization can be identified in terms of competencies needed for the developing officer. The officer's schooling and job assignments can then be designed and made to insure the development activities and preparations are proper for the projected career progression.

The training for such officers must involve more than lectures on the functions of leadership by role. The generic competencies required must be developed through special training and education programs. To maximize the probability that training will result in the development of the competencies dictated by the role model, the following

six (6) stages of adult competency development should be followed [Ref. 24: p. 253].

- (1) Recognition of the competencies
- (2) Understanding of the competencies and how they relate to leader effectiveness
- (3) Self-assessment or instrumented feedback on competencies
- (4) Experimentation with the demonstration of the competencies, or demonstrating them at a higher level of effectiveness
- (5) Practice using the competencies
- (6) Application of competencies in job situations and in context with each others.

Training designed to develop competencies in Army leaders must use the more progressive self-directed behavior change type of training methods. Too often our training in the Army is directed at teaching the officer about the job. The focus of this type of training is to develop a person's social-role level of competence for that job. A competency based training program which focuses on behavior change can be far more effective than mere communication of facts and concepts.

One approach to effective competency based training should begin with job assessment activities and provide feedback, guidance and counseling. Subsequently the trainee's attention should be focused on actual job settings and activities which help develop those generic competency

weaknesses. Once the trainee has mastered the competencies he must be asked to demonstrate his mastery.

A competency based career pathing program, promotion and job selection system will help the individual to realize his maximum potential and in the long term provide maximum efficiency to the Army.

## B. CONCLUSIONS

(1) Due to the size of the questionnaire sample the model is still inconclusive although several trends are evident.

(2) The battalion commanders' workshop needs to be modified and significantly more replications should be performed in order to extract a more reliable model from the process.

(3) Senior Commander Interviews: The sampling was geographically limited, three CONUS installations. The responses are therefore suspect to geographical prejudices.

(4) The validation of the handbook was limited to Fort Carson and a check by CAS Cubed students. Likely the sample was too small. Future verification of the solution range will have to be done across the entire Army.

(5) The study is the only one of its kind which has focused on the role of the company commander and has produced a self-assessment handbook. Although assessment technology such as the 4th ID(M)'s LEAD addresses a model for company commanders, its process is via civilian instruments which are resource intensive.

### C. RECOMMENDATIONS

The following recommendations are based upon the author's strong belief that competency based personnel systems permit an organization to maximize human capital productivity.

(1) The Army should align all leadership training with behavior based systems. Current trait and situational approaches are of marginal value.

(2) Each leader role in the Army should be analyzed and competency models constructed. The differences in these models need be addressed across the Army, that is, CONUS, USAREUR and Korea.

(3) The command selection process should capitalize on competency based technology. This necessarily dictates that officer evaluation reports need to be competency based.

(4) All general officer positions should be profiled by competency models and selection based upon the best competency fit.

(5) Competency based self-assessment materials should be provided to all Army leaders prior to their assuming new roles (commands).

(6) Army field manuals should be rewritten to key on the teaching of competencies and emphasizing "how to." In particular FM 100-5 should be revised to address those competencies peculiar to the commander as he faces the Air-Land Battle 2000. The operations book should articulate the competencies and to what degree of development the

battle captains must possess the competencies in order to lead and win on the battlefield. The Army's leadership manual, FM 22-100, should be revised to address competencies and not abstract trait theories. The leadership technology promulgated by this manual does not serve the Army's leadership training needs. Most Army leaders will simply glance at their copy and put it on some obscure shelf to gather dust.

(7) The National Training Center (Fort Irwin) should provide behaviorally specific feedback to all leaders who participate in their challenging courses.

(8) ARTEPs should have portions which address leader competencies. In particular, what distinguishes one leader from another in terms of each of the team events. What does the outstanding performer do that distinguishes him and his team from the average or below average performer?

(9) The Army should use and encourage the development of leader assessment centers with militarized assessment instruments at all service schools and in all divisions. Many senior leaders talk about the apparent successes at Fort Carson (with their LEAD Center), but few are doing anything about changing the way the rest of the Army is addressing human capital decisions.

(10) The Army should evaluate and form models for each leadership position for combat. A study of such models may well reveal significant issues. What better combat readiness

investment can we make than to insure we have the right leaders in the right positions when war begins?

(11) Examine what other countries are doing; indications are that we are behind some of our allies in terms of selecting the best personnel fits.

(12) The Army has a significant investment in new equipment for the Division 86 transition. What about training our leaders for this transition? Will their integration be left to chance? The proliferation of the modern systems and the significant implications for the leader of tomorrow are frightening. We need to focus attention on quality of people and the development of competencies rather than building systems which the soldier will use less efficiently because of his inability to cope with the leadership challenges of the Airland Battle of 2000.

(13) Administer assessment instruments at the beginning of the OBC and OAC to facilitate continuous and effective counseling. At present all students participate in the same curriculum in many of the Army's officer courses. This is naive and not in the best interests of the Army.

(14) We should train our battalion commanders to recognize competencies which produce successful performance. This skill will help them to select future company commanders, counsel subordinates, write meaningful evaluations and conduct effective training.

(15) Develop within TRADOC an agency with proponency for competency based human resource modeling and assessment. This will save money and create uniformity across the Army. (The Army must avoid needlessly investing in so many civilian contracts when we have the talent within the services. The Leadership and Ethics Center at Fort Leavenworth might be the appropriate location for this agency.)

(16) Focus ARI and HUMRRO efforts on competency based research.

(17) Stock military libraries with material that focuses leader attention on generic competencies by role in actual combat situations.

(18) Involve Army graduate students in competency based research.

(19) Revise Army personnel publications to reflect competency evaluation, training and selection.

(20) The focus of this study has been on male company commanders in the combat arms. Future competency research might focus on female officers commanding either combat support or combat service support companies. (The data accumulated for this thesis does not support generalizing the derived competency model outside the male dominated, combat arms environment.)

APPENDIX A  
QUESTIONNAIRE AND ACCUMULATED DATA

This appendix contains four subparts. The first part is a copy of the questionnaire used in the study.

The second part contains the aggregated data across all company commanders without regard to branch. The means and standard deviations are shown along with a histogram for each competency.

The third part contains just the responses represented by the infantry officers.

The fourth part contains the responses for all combat arms officers, that is, infantry, armor, field artillery, engineers and air defense artillery.



A. ARMY LEADER COMPETENCY MODEL QUESTIONNAIRE

The only differences between the copy in this appendix and the actual copy is that the competencies were not in alphabetical order and the competencies were highlighted for ease of reference.

Naval Postgraduate School  
Monterey, California

Subject: Army Leader Competency Model

To Whom it May Concern

1. I am an infantry captain working on a thesis entitled "Infantry Company Commander Competency Assessment". My thesis is sponsored by the Leadership and Staff Functions Department at the U.S. Army Infantry School. I will eventually validate this model with infantry battalion commanders, subsequently construct an assessment instrument and administer the instrument to IOAC students at Fort Benning. My intent is to develop a first generation assessment instrument which will identify key competency strengths and weaknesses of prospective infantry company commanders.

2. The first step of my research methodology entails the development of an army commandership model based on army leader competencies. The purpose of this questionnaire is to solicit assistance in the ranking of those competencies which are critical to success as a commander at various levels of army command but particularly at the company command level.

3. The army has traditionally defined commandership and leadership in terms of traits and characteristics. This tradition is slowly giving way to operationalizing commander roles in terms of specific observable behaviors or competencies. The attached questionnaire is designed to suggest numerous competencies and to request individual rankings as to their significance to success for the company commander.

4. This questionnaire should require between 30 to 60 minutes. Once you have completed please return to Captain Bob Maginnis. Feel free to add to the competency list, delete, add to the operational definitions and comment on the exercise. To return either send to SMC 2302, place in locker 27 in the Ingersoll student lounge or call Bob Maginnis at 408-372-5274.

5. If you have already completed one of these questionnaires please return same to my SMC (2302).

6. Thank you for helping.

Enclosures:

Part I: Questionnaire instructions

Part II: Questionnaire response sheet

Part III: Competency listing and summary list

Mailing address:

CPT Robert L. Maginnis

592C Michelson Road

Monterey, Ca. 93940

(Version dated 13 June 1983, #4)

# Part I Ranking of Importance

In this questionnaire we would like you to establish the relative ranking of the listed competencies. We, therefore, ask you to do the following:

1. Review the competencies and their operationalized definitions provided in Part III.

2. Select the competency you consider to be the most important to the success of the company commander. Write the name of that competency in the area provided on your response sheet (Part II).

(Example: If you think 'TAKES INITIATIVE' is the most important for the company commander, then write 'TAKES INITIATIVE' next to the "1" on the response sheet. (This indicates that you think this competency is most important to success as a company commander.)

3. Now select the competency you consider to be of least importance to the success of the company commander. Write the name and number of that competency on the line marked 44.

(Example: If you think 'CONCERN FOR CLARITY' is the least important for the company commander, write 'CONCERN FOR CLARITY' next to the "44".

4. Identify the competency which you consider second most important for the success of the company commander. Write that competency on the line next to the number "2".

5. Identify the competency which you consider next-least-important to the success of the company commander. Write that competency on the line numbered "43".

6. Continue this process, identifying the extremes of the ranking until you have ranked all "44" competencies. NOTE: YOU CANNOT SHOW TWO COMPETENCIES AS BEING TIED FOR A POSITION IN THE RANKING.

7. Example:

1. <u>MOST IMPORTANT</u>	23. <u>23d MOST IMPORTANT</u>
2. <u>2d MOST IMPORTANT</u>	24. <u>24th MOST IMPORTANT</u>
21. <u>21st MOST IMPORTANT</u>	43. <u>43d MOST IMPORTANT</u>
22. <u>22d MOST IMPORTANT</u>	44. <u>LEAST IMPORTANT</u>

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PART II  
COMPETENCY SELECTION QUESTIONNAIRE

1. PLEASE PROVIDE THE FOLLOWING INDIVIDUAL BACKGROUND INFORMATION:

SERVICE: MARINE CORPS ARMY (CIRCLE ONE)  
 RANK: LT CPT MAJ LTC COL (CIRCLE ONE)  
 CURRENT POSITION: \_\_\_\_\_ (SPECIFY)  
 BRANCH/SPECIALTY: \_\_\_\_\_ (SPECIFY)  
 PAST OR CURRENT LEADERSHIP JOBS HELD: T4 LDR SQD LDR SEC LDR PLT LDR  
 CO LDR BN LDR 3DE LDR OTHER  
 (CIRCLE ALL APPLICABLE JOBS)

2. PROVIDE RESPONSES IN ACCORDANCE WITH THE DIRECTIONS PROVIDED IN PART 1.

1. _____	23. _____
2. _____	24. _____
3. _____	25. _____
4. _____	26. _____
5. _____	27. _____
6. _____	28. _____
7. _____	29. _____
8. _____	30. _____
9. _____	31. _____
10. _____	32. _____
11. _____	33. _____
12. _____	34. _____
13. _____	35. _____
14. _____	36. _____
15. _____	37. _____
16. _____	38. _____
17. _____	39. _____
18. _____	40. _____
19. _____	41. _____
20. _____	42. _____
21. _____	43. _____
22. _____	44. _____

PART III  
Outstanding Army Leader Competencies

1. ACCURATE SELF-ASSESSMENT
  - is able to evaluate own weaknesses
  - frequently examines self performance (Blanchard)
  - demonstrates an understanding of own worth (Blanchard)
  - demonstrates an ability to recognize own strengths and how to nourish and nurture
  - is able to discern the fit between his personal strengths and the organization's needs (Bennis)
- \*\*\*\*\*
2. APPLIES REWARDS EQUITABLY
  - provides positive feedback to people on their performance of a specific task (McBer, LMET)
  - officially recognizes people for their accomplishments (McBer, LMET)
  - does everything possible to see that deserving individuals are rewarded appropriately
- \*\*\*\*\*
3. ASSERTIVE
  - takes charge of situation and guides effort to solution
- \*\*\*\*\*
4. CONCEPTUALIZES
  - rigorously searches for and identifies the available facts (McBer, LMET)
  - organizes facts and draws realistic inferences (McBer, LMET)
  - analyzes information about a situation by comparing what exists now with what ideally should exist, in order to develop an overall plan of action (McBer, LMET)
  - draws conclusions and makes judgments based on and supported by factual evidence (McBer, LMET)
  - ability to take a creative idea and translate it to practical applications
  - ability to visualize cohesive set of ideas in different settings
- \*\*\*\*\*
5. CONCERN FOR CLARITY
  - uses material aids to improve audience's understanding (McBer, JO)
  - issues instructions systematically and reviews procedures (McBer, JO)
  - asks subordinates to repeat instructions to be sure they understand (McBer, JO)
  - demands or develops adequate channels for communication (McBer, JO)
  - probes for additional information to clarify a problem (McBer, JO)
- \*\*\*\*\*
6. CONCERN FOR IMAGE
  - discusses impact of own behavior on attitudes of others (McBer, JO)
  - aware of social interpretation of behavior (McBer, JO)
  - describes others' perceptions of him (McBer, JO)
- \*\*\*\*\*
7. CONCRETE LEARNING STYLE
  - learns from negative feedback (McBer, JO)
  - preference for the concrete (McBer, JO)
  - regards false step as a learning opportunity and not the end of the world (Bennis)
- \*\*\*\*\*
8. CREATIVITY
  - demonstrates ability to create
  - espouses original ideas and applications
  - likely to take risks and not think about failure (Bennis)
  - not use word for failure but uses glitch, false start or bollix (Bennis)
- \*\*\*\*\*
9. DECISIVENESS
  - readiness to make decisions, take action or commit one-self (LEAD)
- \*\*\*\*\*
10. DELEGATES
  - clearly assigns authority to others for task

accomplishment (McBer, LMET)  
 - uses chain of command to get subordinates to share in task accomplishment (McBer, LMET)  
 - through methods other than direct orders, encourages people to seek task-management responsibility (McBer, LMET)  
 - ability to use subordinates effectively (LEAD)  
 - allocating decision-making authority and fact-finding responsibilities to appropriate subordinates (LEAD)  
 \*\*\*\*\*  
 11. DEVELOPS SUBORDINATES  
 - coaches by making training opportunities, expert help and other resources available to subordinates (McBer, LMET)  
 - expresses enthusiasm for training (McBer, JO)  
 - assigns tasks to subordinates with explicitly stated goals of developing others' abilities or self-image (McBer, JO)  
 - provides information and encouragement necessary to get job done (McBer, LMET)  
 - consciously models desired behavior (McBer, JO)  
 - transfers his expertise to others through example  
 - gives behaviorally specific performance feedback (McBer, JO)  
 \* provides specific rather than general feedback  
 \* focuses feedback on the behavior and not the person  
 \* takes into account the needs of the receiver  
 \* directed toward behavior which the receiver can do something about  
 \* provides feedback when it is solicited rather than imposing it  
 \* provides feedback with intent of sharing information rather than giving advice  
 \* carefully chooses the time to give  
 \* only provides the amount of information which the receiver can use rather than the amount which he would like to give  
 \* checks with listener to insure clear communication by having the listener rephrase the feedback  
 - gives latitude to subordinates to decide means of accomplishing tasks (McBer, JO)  
 - praises and reprimands as appropriate (Blanchard)  
 \*\*\*\*\*  
 12. DIAGNOSTIC UNDERSTANDING  
 - gives articulated and plausible explanation of why people behave in certain ways (McBer, JO)  
 - shares related personal experience as a way of conveying understanding (McBer, JO)  
 - states another person's perspective in a disagreement (McBer, JO)  
 - recognizes patterns in situations and behaviors (McBer, JO)  
 - analyzes data for "real-ideal" discrepancies (McBer, JO)  
 \*\*\*\*\*  
 13. DISCIPLINES  
 - provides negative feedback to subordinates on inappropriate appearance, behavior or performance (McBer, LMET)  
 - holds subordinates accountable and gives appropriate discipline (McBer, LMET)  
 \*\*\*\*\*  
 14. DOMINANCE  
 - tends to dominate situations of interest to him and or his organization  
 \*\*\*\*\*  
 15. EFFECTIVELY USES RESOURCES  
 - matches people and jobs to get best performance (McBer, LMET)  
 - defines problems, outcomes as significant cost/savings in resources (McBer, JO)  
 - designs systems to improve efficiency (McBer, JO)  
 - expresses displeasure to specific individuals when time/effort clearly wasted (McBer, JO)  
 - fully uses human resources available for tasks (McBer, LMET)

- explicitly mentions doing something faster or more efficiently (concern for efficiency) (McBer,JO)
- considers trade-offs between task requirements and people's morale (McBer,LMET)
- expresses annoyance at things that slow tasks (McBer,JO)
- highly conscious at all times of what he wants (Bennis)
- totally results oriented (Bennis)
- does not waste time (Bennis)

\*\*\*\*\*

16. ENERGY

- throws himself into everything he does (CDPL)
- quick, active, full of pep, vigorous (CDPL)
- the vigour with which he pursues his tasks, activities (CDPL)

\*\*\*\*\*

17. EXPERT INFLUENCE STYLE

- uses knowledge of regulations to support position (McBer,JO)
- uses technical expertise to persuade others (McBer,JO)
- uses two or more distinctive reasons to persuade others (McBer,JO)
- uses reasoned arguments to persuade (McBer,JO)

\*\*\*\*\*

18. FLEXIBILITY

- when commander is faced with barriers or obstacles to mission accomplishment, he can respond with different arguments, technical or leadership styles to achieve the goal
- ability to adapt to new or changing-situations (adaptability) (LEAD)

\*\*\*\*\*

19. INFLUENCES

- "sells" ideas by putting them in terms of others' self-interest (McBer,LMET)
- builds political coalitions or potential influence networks (McBer,LMET)
- gains peoples' commitment to organizational goals, traditions, values, by appealing to a higher purpose (McBer,LMET)
- makes people feel strong/significant (McBer,LMET)
- influences by personal example, that is, models desirable behavior (McBer,LMET)
- explains why, shares information, communicates purpose of actions (McBer,LMET)
- ability to align people behind him (Bennis)
- generates enthusiasm for his ideas

\*\*\*\*\*

20. JOB INVOLVEMENT

- makes personal sacrifice for professional gain as army officer (stays the course) (McBer,JO)
- works on own knowledge and skill development (McBer,JO)
- expresses enthusiasm for past or prospective challenges (McBer,JO)
- pinch hits for others when necessary to get job done (McBer,JO)
- puts in very long hours to get a job done (McBer,JO)
- assumes responsibility for own actions
- disciplines self by doing what he knows his duty requires

\*\*\*\*\*

21. JUDGMENT

- considers quality of decision (LEAD)
- ability to make rational and realistic decisions based upon factual information and consideration of organizational resources (LEAD)

\*\*\*\*\*

22. LISTENING SKILLS

- company commander receives many orders orally which must be properly applied in decision making process (LEAD)
- ability to extract relevant information in oral communication (LEAD)

\*\*\*\*\*

23. MANAGES TO STANDARDS (monitoring of results and management control)

- keeps track of a work process by seeking information on

its progress  
 or by direct observation (McBer, LMET)  
 - makes effort to surpass existing mission standards (McBer, JO)  
 - strives for precision around mission accomplishment (McBer, JO)  
 - requires additional effort from others when mission related standards are not met (McBer, JO)  
 - rejects substandard performance in mission related activities (McBer, JO)  
 - seriously monitors performance of subordinates (McBer, JO)  
 - takes steps to insure that subordinates master mission-related tasks and materials (McBer, JO)  
 - skill in establishing procedures to monitor or regulate processes, tasks or assignments delegated to others (LEAD)  
 - involves keeping track of and following up on delegated duties and projects (LEAD)  
 \*\*\*\*\*  
 24. ORAL COMMUNICATION SKILLS  
 - instructs numerous people daily as to what needs to be done and question them as to the progress of various projects (LEAD)  
 - communicates without listener falling prey to multiple competing distortions (Bennis)  
 - demonstrates a knack for using the right metaphors (Bennis)  
 \*\*\*\*\*  
 25. PERSONALIZED LEADING MODEL  
 - use of appropriate interpersonal styles and methods in guiding individuals or groups toward task accomplishment (LEAD)  
 - operationalizes a personal leadership model  
 \*\*\*\*\*  
 26. PLANS AND ORGANIZES  
 - sets priorities by organizing tasks in hierarchy of importance (McBer, LMET)  
 - identifies action steps, resources and obstacles involved in reaching an objective (McBer, LMET)  
 - develops methods to keep track of tasks, progress (prepares an action plan) (McBer, JO)  
 - organizes and schedules people, material or activities in new ways to accomplish a task (McBer, LMET)  
 - thinks things through systematically ahead of time (at least three steps are taken) and he ranks the alternative courses of action (McBer, JO)  
 - ability to effectively establish an appropriate course of action for self and or others to accomplish specific goals, make proper assignments of personnel, and appropriate use of resources. (LEAD)  
 \*\*\*\*\*  
 27. POLITICAL SENSITIVITY  
 - discusses political implications of situations, actions (McBer, JO)  
 - keeps superiors informed so they are not embarrassed (McBer, JO)  
 - engages in affiliative activities that could interfere with objectivity (McBer, JO)  
 - builds and uses personal contacts to solve problems  
 \*\*\*\*\*  
 28. POSITIVE EXPECTATIONS  
 - possesses strong conviction that people are capable of doing good work when given the chance (theory-I) (McBer, LMET)  
 - has generalized positive feelings for people (McBer, LMET)  
 - believes that subordinates are valuable resources (McBer, LMET)  
 \*\*\*\*\*  
 29. REALISTIC EXPECTATIONS



- has doubts or concerns about an individual's ability to perform (McBer, LMET)
- has a realistic concern that people may not follow or effectively carry out instructions (McBer, LMET)
- acknowledges an individual's shortcomings as well as strengths (McBer, LMET)
- is willing to express displeasure, disappointment and concern about the shortcomings of an individual's performance (McBer, LMET)

\*\*\*\*\*

30. REALISTIC POSITIVE REGARD

- attends to comfort and welfare of subordinates (McBer, JO)
- expresses concern when subordinates are not respected, rewarded or thanked (McBer, JO)
- goes out of way to help subordinates solve personal problems (McBer, JO)
- gives credit where credit is due (McBer, JO)
- expresses confidence in subordinates' ability to do well (McBer, JO)
- willingness to learn from subordinates (McBer, JO)
- makes realistic assessment of what individual is capable of (avoids unfair blame) (McBer, JO)

\*\*\*\*\*

31. RESPONSIBLE

- tends to assume responsibility for own actions or areas over which he has authority

\*\*\*\*\*

32. SEES SELF AS A MANAGER

- speaks using management terminology

\*\*\*\*\*

33. SELF-CONFIDENCE

- expresses belief in own expertise (McBer, JO)
- describes self as a star/expert (McBer, JO)
- compares self favorably to others (McBer, JO)

\*\*\*\*\*

34. SELF-CONTROL

- holds back an impulse to say or do something inappropriate (McBer, LMET)
- does not show anger under attack (McBer, LMET)
- makes decisions only after identifying and weighing all the facts (McBer, LMET)
- controls the urge to "do it myself" and instead manages others to take responsibility for tasks assigned to them (McBer, LMET)

\*\*\*\*\*

35. SETS ETHICAL EXAMPLE

- candor demonstrated in day to day activities
- mutual trust demonstrated in interpersonal actions
- speaks and acts in such a manner that socially unacceptable activities or ideals are not associated with him

\*\*\*\*\*

36. SETS GOALS AND PERFORMANCE STANDARDS

- establishes specific goals (McBer, LMET)
- is concerned with standards and task performance (McBer, LMET)
- sets deadlines for tasks' performance (McBer, LMET)

\*\*\*\*\*

37. TAKES INITIATIVE (an activist)

- uses imaginative or unusual means to overcome an obstacle (McBer, JO)
- is resourceful and persistent (McBer, LMET)
- builds and uses personal contacts to solve problems (McBer, JO)
- takes new actions or forms new plans without being told to do so
- persists in overcoming obstacles (McBer, JO)
- anticipates situations, rather than reacting to them (McBer, LMET)
- develops innovative strategies to accomplish a mission (McBer, JO)
- takes action beyond what is necessarily called for
- actively influencing events rather than passively accepting existing

- procedures (LEAD)
- originates actions rather than just responding to events (LEAD)
- adapts quickly to changing circumstances (McBer, JO)
- focuses energies on doing the right thing (Bennis)
- persists in asking hard questions (Bennis)
- \*\*\*\*\*
- 38. TEAM BUILDS
- communicates the need for cooperation (McBer, LMET)
- organizes teamwork for important non-routine tasks that require cooperation between individuals and among work groups (McBer, LMET)
- acts to create symbols and rituals for group identity, pride or team development (custom- recognizes things being done) (McBer, LMET)
- \*\*\*\*\*
- 39. TECHNICAL PROFICIENCY
- demonstrates acceptable hard skill proficiency (job specific)
- \*\*\*\*\*
- 40. TOLERANCE FOR STRESS
- stability of performance under pressure and opposition (LEAD)
- company commander actions influenced by limited time constraints
- company commander may experience stress as result of opposition to ideas group pressure or task difficulty
- endurance
- displays a confident calmness in looks and behavior during situations which are stressful (FM 22-100)
- ability to make timely and appropriate changes in thinking, plans or methods when you see, or when others convince you that there is a better way (FM 22-100)
- \*\*\*\*\*
- 41. UNCONFLICTED USE OF POSITION AND SYMBOLIC POWER (FORCEFULNESS)
- deliberately takes advantage of position and symbolic power (McBer, JO)
- explicitly pulls rank to overcome resistance (McBer, JO)
- coerces when necessary (McBer, JO)
- manipulates situations and people (McBer, JO)
- \*\*\*\*\*
- 42. UNDERSTANDS
- accepts the feelings of another person (McBer, LMET)
- figures out a person's motivation, and has evidence to back up the diagnosis (McBer, LMET)
- responds to personal needs and problems appropriately (McBer, LMET)
- responds to people appropriately in order to get the job done (McBer, LMET)
- listens emphatically (McBer, LMET)
- \*\*\*\*\*
- 43. WILLINGNESS TO CONFRONT OTHERS
- defends actions against other's criticisms (McBer, JO)
- stands up to others for what he believes in (McBer, JO)
- resists encroachment on perceived area of responsibility (McBer, JO)
- \*\*\*\*\*
- 44. WRITTEN COMMUNICATION SKILLS
- writes properly structured and punctuated papers
- writes persuasively and succinctly
- chooses vocabulary which reflects a thorough understanding of the audience and the subject being communicated
- \*\*\*\*\*

The following alphabetized listing of the competencies is provided for your quick reference. The number to the side of each competency corresponds with the location on the preceding sheets.

- |                                |                         |
|--------------------------------|-------------------------|
| 1. ACCURATE SELF-ASSESSMENT    | 24. ORAL COMMO SKILLS   |
| 2. APPLIES REWARDS EQUITABLY   | 25. PERSONAL LEAD MODEL |
| 3. ASSERTIVE                   | 26. PLANS AND ORGANIZES |
| 4. CONCEPTUALIZES              | 27. POLITICAL SENS      |
| 5. CONCERN FOR CLARITY         | 28. POSITIVE EXPECT     |
| 6. CONCERN FOR IMAGE           | 29. REALISTIC EXPECT    |
| 7. CONCRETE LEARNING STYLE     | 30. REALISTIC POS REG   |
| 8. CREATIVITY                  | 31. RESPONSIBLE         |
| 9. DECISIVENESS                | 32. SELF AS MANAGER     |
| 10. DELEGATES                  | 33. SELF-CONFIDENCE     |
| 11. DEVELOPS SUBORDINATES      | 34. SELF-CONTROL        |
| 12. DIAGNOSTIC UNDERSTANDING   | 35. SETS ETHICAL EX     |
| 13. DISCIPLINES                | 36. SETS GOALS/PER ST   |
| 14. DOMINANCE                  | 37. TAKES INITIATIVE    |
| 15. EFFECTIVELY USES RESOURCES | 38. TEAM BUILDS         |
| 16. ENERGY                     | 39. TECHNICAL PROF      |
| 17. EXPERT INFLUENCE STYLE     | 40. TOL FOR STRESS      |
| 18. FLEXIBILITY                | 41. UNCONFL USE POS     |
| 19. INFLUENCES                 | 42. UNDERSTANDS         |
| 20. JOB INVOLVMENT             | 43. WILLING CONFRONT    |
| 21. JUDGMENT                   | 44. WRITTEN COMMO       |
| 22. LISTENING SKILLS           |                         |
| 23. MANAGES TO STANDARDS       |                         |

(Version date: 14 July 1983, #5)

## B. OVERALL RESULTS

Below is a listing of the competencies. (The number beside the below listed competencies corresponds to the column "C" number on the following pages, that is, C1 is effectively uses resources.)

1. Effectively uses resources
2. Plans and organizes
3. Takes initiative
4. Manages to standards
5. Concern for clarity
6. Self-confidence
7. Expert influence style
8. Willingness to confront others
9. Unconflicted use of position and symbolic power
10. Concern for image
11. Diagnostic understanding
12. Realistic positive regard
13. Develops subordinates
14. Job involvement
15. Concrete learning style
16. Sees self as a manager
17. Sets goals and performance standards
18. Delegates
19. Disciplines
20. Self-control
21. Influences

22. Team builds
23. Applies reward equitably
24. Positive expectations
25. Realistic expectations
26. Understands
27. Conceptualizes
28. Oral communication skills
29. Listening skills
30. Tolerance for stress
31. Flexibility
32. Decisiveness
33. Personalized leading model
34. Accurate self-assessment
35. Dominance
36. Responsible
37. Creativity
38. Sets ethical example
39. Assertive
40. Judgment
41. Political sensitivity
42. Technical proficiency
43. Written communication skills
44. Energy

The generic competency model constructed by rank ordering the means of each competency across all responses is shown below.

1. Plans and organizes
2. Effectively uses resources
3. Develops subordinates
4. Takes initiative
5. Delegates
6. Judgment
7. Decisiveness
8. Responsible
9. Flexibility
10. Sets goals and performance standards
11. Disciplines
12. Team builds
13. Tolerance for stress
14. Sets ethical example
15. Oral communication skills

C1	N = 105	MEAN =	12.019	ST.DEV. =	10.2
C2	N = 105	MEAN =	9.3238	ST.DEV. =	9.51
C3	N = 105	MEAN =	12.124	ST.DEV. =	9.84
C4	N = 105	MEAN =	18.971	ST.DEV. =	11.6
C5	N = 105	MEAN =	26.629	ST.DEV. =	11.1
C6	N = 105	MEAN =	19.124	ST.DEV. =	11.8
C7	N = 105	MEAN =	31.457	ST.DEV. =	10.0
C8	N = 105	MEAN =	27.352	ST.DEV. =	10.2
C9	N = 105	MEAN =	40.038	ST.DEV. =	6.89
C10	N = 105	MEAN =	37.352	ST.DEV. =	8.50
C11	N = 105	MEAN =	32.019	ST.DEV. =	8.92
C12	N = 105	MEAN =	19.076	ST.DEV. =	11.9
C13	N = 105	MEAN =	12.086	ST.DEV. =	9.02
C14	N = 105	MEAN =	19.610	ST.DEV. =	11.5
C15	N = 105	MEAN =	31.305	ST.DEV. =	8.04
C16	N = 105	MEAN =	37.076	ST.DEV. =	7.61
C17	N = 105	MEAN =	17.314	ST.DEV. =	11.6
C18	N = 105	MEAN =	12.286	ST.DEV. =	8.97
C19	N = 105	MEAN =	18.333	ST.DEV. =	9.61
C20	N = 105	MEAN =	19.514	ST.DEV. =	10.8
C21	N = 105	MEAN =	23.152	ST.DEV. =	11.2
C22	N = 105	MEAN =	18.371	ST.DEV. =	10.3
C23	N = 105	MEAN =	22.152	ST.DEV. =	8.33
C24	N = 105	MEAN =	25.390	ST.DEV. =	10.3
C25	N = 105	MEAN =	23.171	ST.DEV. =	11.2
C26	N = 105	MEAN =	22.638	ST.DEV. =	9.44
C27	N = 105	MEAN =	25.029	ST.DEV. =	11.4
C28	N = 105	MEAN =	18.952	ST.DEV. =	8.53
C29	N = 105	MEAN =	19.600	ST.DEV. =	10.0
C30	N = 105	MEAN =	18.714	ST.DEV. =	9.94
C31	N = 105	MEAN =	14.629	ST.DEV. =	9.72
C32	N = 105	MEAN =	13.114	ST.DEV. =	9.34
C33	N = 105	MEAN =	25.171	ST.DEV. =	12.3
C34	N = 105	MEAN =	26.886	ST.DEV. =	10.9
C35	N = 105	MEAN =	37.657	ST.DEV. =	6.97
C36	N = 105	MEAN =	13.200	ST.DEV. =	9.53
C37	N = 105	MEAN =	28.133	ST.DEV. =	9.91
C38	N = 105	MEAN =	18.838	ST.DEV. =	11.6
C39	N = 105	MEAN =	20.638	ST.DEV. =	10.6
C40	N = 105	MEAN =	12.762	ST.DEV. =	8.40
C41	N = 105	MEAN =	34.114	ST.DEV. =	10.9
C42	N = 105	MEAN =	19.781	ST.DEV. =	11.9
C43	N = 105	MEAN =	26.990	ST.DEV. =	10.8
C44	N = 105	MEAN =	26.371	ST.DEV. =	11.0

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
C1	0.	18	*****
	5.	27	*****
	10.	19	*****
	15.	12	*****
	20.	9	*****
	25.	10	*****
	30.	7	*****
	35.	2	**
	40.	0	
	45.	1	*
C2			
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	25	*****
	5.	35	*****
	10.	17	*****
	15.	12	*****
	20.	8	*****
	25.	1	*
	30.	1	*
	35.	3	***
	40.	3	***
C3			
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	13	*****
	5.	30	*****
	10.	18	*****
	15.	19	*****
	20.	8	*****
	25.	7	*****
	30.	3	***
	35.	6	*****
	40.	0	
	45.	1	*
C4			
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	4	****
	5.	20	*****
	10.	16	*****
	15.	12	*****
	20.	9	*****
	25.	17	*****
	30.	13	*****
	35.	9	*****
	40.	4	****
	45.	1	*



	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	7 *****
	10.	6 *****
	15.	10 *****
C5	20.	12 *****
	25.	14 *****
	30.	15 *****
	35.	22 *****
	40.	15 *****
	45.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	8 *****
	5.	15 *****
	10.	9 *****
	15.	20 *****
C6	20.	11 *****
	25.	13 *****
	30.	14 *****
	35.	7 *****
	40.	6 *****
	45.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	3 ***
	10.	5 *****
	15.	3 ***
C7	20.	8 *****
	25.	5 *****
	30.	18 *****
	35.	25 *****
	40.	34 *****
	45.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	0
	10.	8 *****
	15.	11 *****
C8	20.	15 *****
	25.	13 *****
	30.	20 *****
	35.	15 *****
	40.	19 *****
	45.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	1 *
	10.	0
	15.	2 *
	20.	2 *
C9	25.	1 *
	30.	5 ***
	35.	9 *****
	40.	29 *****
	45.	56 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	0
	15.	3 ***
	20.	5 *****
C10	25.	5 *****
	30.	6 *****
	35.	11 *****
	40.	43 *****
	45.	30 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	2 **
	15.	5 *****
	20.	8 *****
C11	25.	8 *****
	30.	20 *****
	35.	23 *****
	40.	30 *****
	45.	7 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	7 *****
	5.	13 *****
	10.	18 *****
	15.	17 *****
	20.	12 *****
C12	25.	7 *****
	30.	9 *****
	35.	13 *****
	40.	8 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	13	*****
	5.	23	*****
	10.	31	*****
	15.	11	*****
C13	20.	14	*****
	25.	5	*****
	30.	4	****
	35.	2	**
	40.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	10	*****
	5.	5	*****
	10.	18	*****
	15.	16	*****
C14	20.	15	*****
	25.	6	*****
	30.	20	*****
	35.	8	*****
	40.	7	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	1	*
	10.	1	*
	15.	4	****
	20.	10	*****
C15	25.	13	*****
	30.	19	*****
	35.	34	*****
	40.	21	*****
	45.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	12.	1	*
	16.	1	*
	20.	7	*****
	24.	2	**
C16	28.	7	*****
	32.	2	**
	36.	18	*****
	40.	31	*****
	44.	36	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	7	*****
	5.	20	*****
	10.	18	*****
	15.	12	*****
C17	20.	17	*****
	25.	10	*****
	30.	9	*****
	35.	3	***
	40.	7	*****
	45.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	6	*****
	5.	33	*****
	10.	24	*****
	15.	11	*****
C18	20.	19	*****
	25.	3	***
	30.	6	*****
	35.	2	**
	40.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	1	*
	5.	11	*****
	10.	23	*****
	15.	19	*****
	20.	13	*****
C19	25.	18	*****
	30.	9	*****
	35.	9	*****
	40.	1	*
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	5	*****
	5.	14	*****
	10.	11	*****
	15.	16	*****
C20	20.	24	*****
	25.	11	*****
	30.	9	*****
	35.	8	*****
	40.	7	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	5	*****
	5.	7	*****
	10.	8	*****
	15.	13	*****
C21	20.	16	*****
	25.	15	*****
	30.	17	*****
	35.	12	*****
	40.	12	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	3	***
	5.	19	*****
	10.	11	*****
	15.	20	*****
C22	20.	13	*****
	25.	15	*****
	30.	15	*****
	35.	5	*****
	40.	4	****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	4.	3	***
	8.	4	****
	12.	14	*****
	16.	13	*****
C23	20.	15	*****
	24.	16	*****
	28.	17	*****
	32.	11	*****
	36.	12	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	5	*****
	10.	11	*****
	15.	10	*****
	20.	7	*****
C24	25.	27	*****
	30.	16	*****
	35.	16	*****
	40.	12	*****
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	2	**
	5.	10	*****
	10.	9	*****
	15.	16	*****
	20.	12	*****
C25	25.	16	*****
	30.	14	*****
	35.	13	*****
	40.	11	*****
	45.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	1	*
	5.	7	*****
	10.	14	*****
	15.	3	***
C26	20.	25	*****
	25.	21	*****
	30.	16	*****
	35.	13	*****
	40.	5	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	3	***
	5.	10	*****
	10.	7	*****
	15.	8	*****
C27	20.	8	*****
	25.	18	*****
	30.	20	*****
	35.	15	*****
	40.	16	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	11	*****
	10.	15	*****
	15.	17	*****
	20.	25	*****
C28	25.	22	*****
	30.	6	*****
	35.	8	*****
	40.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	12 *****
	10.	16 *****
	15.	17 *****
C29	20.	21 *****
	25.	13 *****
	30.	13 *****
	35.	7 *****
	40.	5 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	5 *****
	5.	12 *****
	10.	14 *****
	15.	17 *****
C30	20.	19 *****
	25.	15 *****
	30.	15 *****
	35.	3 ***
	40.	5 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	9 *****
	5.	15 *****
	10.	28 *****
	15.	18 *****
C31	20.	11 *****
	25.	11 *****
	30.	7 *****
	35.	4 ****
	40.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	14 *****
	5.	21 *****
	10.	20 *****
	15.	20 *****
C32	20.	11 *****
	25.	9 *****
	30.	8 *****
	35.	1 *
	40.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
	5.	11 *****
	10.	10 *****
	15.	7 *****
	20.	7 *****
C33	25.	13 *****
	30.	19 *****
	35.	16 *****
	40.	18 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
	5.	4 ****
	10.	4 ****
	15.	10 *****
	20.	12 *****
C34	25.	12 *****
	30.	19 *****
	35.	23 *****
	40.	13 *****
	45.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	1 *
	10.	1 *
	15.	1 *
	20.	1 *
C35	25.	4 ****
	30.	10 *****
	35.	21 *****
	40.	34 *****
	45.	32 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	8 *****
	5.	30 *****
	10.	21 *****
	15.	16 *****
C36	20.	13 *****
	25.	9 *****
	30.	3 ***
	35.	0
	40.	5 *****



	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	4	****
	10.	5	*****
	15.	10	*****
	20.	6	*****
C37	25.	21	*****
	30.	14	*****
	35.	27	*****
	40.	16	*****
	45.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	12	*****
	5.	11	*****
	10.	10	*****
	15.	19	*****
C38	20.	12	*****
	25.	11	*****
	30.	12	*****
	35.	12	*****
	40.	5	*****
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	2	**
	5.	13	*****
	10.	15	*****
	15.	10	*****
	20.	17	*****
C39	25.	18	*****
	30.	15	*****
	35.	9	*****
	40.	5	*****
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	8	*****
	4.	17	*****
	8.	19	*****
	12.	10	*****
	16.	24	*****
C40	20.	9	*****
	24.	9	*****
	28.	6	*****
	32.	1	*
	36.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	5	*****
	10.	3	***
	15.	3	***
	20.	4	****
C41	25.	9	*****
	30.	3	***
	35.	24	*****
	40.	32	*****
	45.	22	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	7	*****
	5.	16	*****
	10.	10	*****
	15.	14	*****
	20.	17	*****
C42	25.	8	*****
	30.	14	*****
	35.	10	*****
	40.	9	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	6	*****
	10.	9	*****
	15.	8	*****
	20.	10	*****
C43	25.	15	*****
	30.	20	*****
	35.	15	*****
	40.	18	*****
	45.	4	****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	1	*
	5.	5	*****
	10.	11	*****
	15.	11	*****
	20.	5	*****
C44	25.	16	*****
	30.	19	*****
	35.	21	*****
	40.	12	*****
	45.	4	****

### C. INFANTRY OFFICER RESULTS

The competencies have been rank ordered according to their means. The first fifteen competencies in rank order are:

1. Plans and organizes
2. Takes initiative
3. Develops subordinates
4. Effectively uses resources
5. Decisiveness
6. Delegates
7. Responsible
8. Judgment
9. Flexibility
10. Technical proficiency
11. Sets goals and performance standards
12. Oral communication skills
13. Team builds
14. Disciplines
15. Listening skills

The questionnaire data supporting this rank ordering follows.

NOTE: See Appendix A, Section B (Overall Results) for a listing of the competencies which correspond with the column numbers on the following pages.

C1	N = 46	MEAN =	11.891	ST.DEV.	9.30
C2	N = 46	MEAN =	9.6739	ST.DEV.	9.95
C3	N = 46	MEAN =	12.891	ST.DEV.	10.3
C4	N = 46	MEAN =	18.239	ST.DEV.	12.7
C5	N = 46	MEAN =	24.370	ST.DEV.	11.5
C6	N = 46	MEAN =	18.413	ST.DEV.	11.2
C7	N = 46	MEAN =	29.652	ST.DEV.	10.7
C8	N = 46	MEAN =	26.348	ST.DEV.	10.7
C9	N = 46	MEAN =	39.717	ST.DEV.	8.04
C10	N = 46	MEAN =	36.717	ST.DEV.	9.86
C11	N = 46	MEAN =	33.457	ST.DEV.	7.96
C12	N = 46	MEAN =	21.630	ST.DEV.	12.7
C13	N = 46	MEAN =	11.717	ST.DEV.	9.54
C14	N = 46	MEAN =	18.043	ST.DEV.	10.8
C15	N = 46	MEAN =	31.565	ST.DEV.	8.04
C16	N = 46	MEAN =	37.435	ST.DEV.	7.36
C17	N = 46	MEAN =	18.522	ST.DEV.	12.8
C18	N = 46	MEAN =	14.217	ST.DEV.	9.66
C19	N = 46	MEAN =	17.261	ST.DEV.	8.67
C20	N = 46	MEAN =	20.935	ST.DEV.	10.0
C21	N = 46	MEAN =	24.370	ST.DEV.	10.7
C22	N = 46	MEAN =	18.500	ST.DEV.	11.0
C23	N = 46	MEAN =	23.413	ST.DEV.	9.04
C24	N = 46	MEAN =	25.130	ST.DEV.	10.6
C25	N = 46	MEAN =	21.783	ST.DEV.	11.7
C26	N = 46	MEAN =	23.196	ST.DEV.	9.07
C27	N = 46	MEAN =	25.435	ST.DEV.	10.8
C28	N = 46	MEAN =	17.087	ST.DEV.	8.88
C29	N = 46	MEAN =	19.457	ST.DEV.	10.0
C30	N = 46	MEAN =	19.609	ST.DEV.	9.86
C31	N = 46	MEAN =	16.696	ST.DEV.	10.4
C32	N = 46	MEAN =	12.543	ST.DEV.	9.97
C33	N = 46	MEAN =	23.304	ST.DEV.	13.4
C34	N = 46	MEAN =	28.891	ST.DEV.	10.3
C35	N = 46	MEAN =	37.152	ST.DEV.	6.23
C36	N = 46	MEAN =	14.239	ST.DEV.	10.7
C37	N = 46	MEAN =	29.239	ST.DEV.	9.42
C38	N = 46	MEAN =	20.391	ST.DEV.	11.7
C39	N = 46	MEAN =	19.522	ST.DEV.	10.0
C40	N = 46	MEAN =	13.022	ST.DEV.	8.37
C41	N = 46	MEAN =	33.587	ST.DEV.	11.3
C42	N = 46	MEAN =	18.913	ST.DEV.	11.9
C43	N = 46	MEAN =	24.935	ST.DEV.	11.7
C44	N = 46	MEAN =	24.370	ST.DEV.	10.9

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	5	*****
	5.	14	*****
	10.	8	*****
	15.	7	*****
C1	20.	3	***
	25.	6	*****
	30.	2	**
	35.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	11	*****
	5.	15	*****
	10.	6	*****
	15.	7	*****
C2	20.	2	**
	25.	1	*
	30.	0	
	35.	3	***
	40.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	5	*****
	5.	12	*****
	10.	8	*****
	15.	8	*****
	20.	5	*****
C3	25.	4	****
	30.	0	
	35.	3	***
	40.	0	
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	3	***
	5.	10	*****
	10.	8	*****
	15.	4	****
	20.	3	***
C4	25.	5	*****
	30.	5	*****
	35.	5	*****
	40.	2	**
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C5	5.	4 ****
	10.	5 *****
	15.	6 *****
	20.	4 ****
	25.	9 *****
	30.	4 ****
	35.	7 *****
	40.	6 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C6	0.	4 ****
	5.	6 *****
	10.	4 ****
	15.	8 *****
	20.	6 *****
	25.	7 *****
	30.	6 *****
	35.	3 ***
	40.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C7	5.	3 ***
	10.	3 ***
	15.	1 *
	20.	4 ****
	25.	4 ****
	30.	7 *****
	35.	12 *****
	40.	12 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C8	0.	1 *
	5.	0
	10.	5 *****
	15.	4 ****
	20.	7 *****
	25.	4 ****
	30.	12 *****
	35.	4 ****
	40.	7 *****
	45.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	1	*
	10.	0	
	15.	1	*
	20.	1	*
C9	25.	0	
	30.	2	**
	35.	4	****
	40.	11	*****
	45.	26	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	1	*
	10.	0	
	15.	3	***
	20.	3	***
C10	25.	2	**
	30.	1	*
	35.	3	***
	40.	17	*****
	45.	16	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	12.	1	*
	16.	1	*
	20.	2	**
	24.	4	****
C11	28.	4	****
	32.	9	*****
	36.	6	*****
	40.	10	*****
	44.	9	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	4	****
	5.	4	****
	10.	7	*****
	15.	3	***
C12	20.	6	*****
	25.	4	****
	30.	4	****
	35.	8	*****
	40.	6	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	8	*****
	5.	9	*****
	10.	12	*****
	15.	5	*****
C13	20.	7	*****
	25.	1	*
	30.	2	**
	35.	1	*
	40.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	5	*****
	5.	2	**
	10.	8	*****
	15.	10	*****
C14	20.	5	*****
	25.	2	**
	30.	11	*****
	35.	2	**
	40.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	16.	1	*
	20.	8	*****
	24.	3	***
	28.	4	****
C15	32.	9	*****
	36.	10	*****
	40.	5	*****
	44.	6	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	12.	0	
	16.	1	*
	20.	3	***
	24.	0	
C16	28.	3	***
	32.	2	**
	36.	7	*****
	40.	11	*****
	44.	19	*****



	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
	5.	8 *****
	10.	9 *****
	15.	7 *****
	20.	3 ***
C17	25.	2 **
	30.	7 *****
	35.	1 *
	40.	5 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	5.	13 *****
	10.	7 *****
	15.	8 *****
C18	20.	9 *****
	25.	1 *
	30.	4 ****
	35.	1 *
	40.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	5 *****
	10.	9 *****
	15.	9 *****
C19	20.	6 *****
	25.	11 *****
	30.	3 ***
	35.	1 *
	40.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	4 ****
	10.	6 *****
	15.	9 *****
	20.	7 *****
C20	25.	9 *****
	30.	3 ***
	35.	5 *****
	40.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	3	***
	5.	2	**
	10.	2	**
	15.	4	****
	20.	8	*****
C21	25.	7	*****
	30.	10	*****
	35.	5	*****
	40.	5	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	2	**
	5.	8	*****
	10.	5	*****
	15.	9	*****
C22	20.	5	*****
	25.	3	***
	30.	9	*****
	35.	3	***
	40.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	4.	2	**
	8.	3	***
	12.	4	****
	16.	2	**
C23	20.	5	*****
	24.	11	*****
	28.	7	*****
	32.	4	****
	36.	8	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	10.	9	*****
	15.	4	****
	20.	3	***
C24	25.	13	*****
	30.	2	**
	35.	9	*****
	40.	5	*****
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	5 *****
	10.	8 *****
	15.	6 *****
C25	20.	3 ***
	25.	6 *****
	30.	6 *****
	35.	6 *****
	40.	5 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	7 *****
	15.	1 *
C26	20.	14 *****
	25.	7 *****
	30.	7 *****
	35.	5 *****
	40.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	2 **
	10.	5 *****
	15.	4 *****
C27	20.	4 *****
	25.	7 *****
	30.	10 *****
	35.	7 *****
	40.	6 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	8 *****
	10.	7 *****
	15.	8 *****
C28	20.	13 *****
	25.	5 *****
	30.	0
	35.	5 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C29	5.	6 *****
	10.	6 *****
	15.	9 *****
	20.	9 *****
	25.	5 *****
	30.	7 *****
	35.	1 *
	40.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C30	0.	3 ***
	5.	3 ***
	10.	6 *****
	15.	5 *****
	20.	9 *****
	25.	10 *****
	30.	6 *****
	35.	3 ***
40.	1 *	

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C31	0.	5 *****
	5.	4 *****
	10.	9 *****
	15.	8 *****
	20.	6 *****
	25.	6 *****
	30.	5 *****
	35.	2 **
40.	1 *	

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C32	0.	8 *****
	5.	11 *****
	10.	5 *****
	15.	10 *****
	20.	4 ****
	25.	4 ****
	30.	2 **
	35.	1 *
40.	1 *	

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	5.	8 *****
	10.	2 **
	15.	7 *****
	20.	1 *
C33	25.	4 ****
	30.	7 *****
	35.	8 *****
	40.	6 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	5.	0
	10.	2 **
	15.	3 ***
C34	20.	4 ****
	25.	5 *****
	30.	9 *****
	35.	11 *****
	40.	8 *****
	45.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	16.	1 *
	20.	0
	24.	1 *
C35	28.	4 ****
	32.	5 *****
	36.	8 *****
	40.	14 *****
	44.	13 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	16 *****
	10.	9 *****
	15.	7 *****
C36	20.	4 ****
	25.	3 ***
	30.	2 **
	35.	0
	40.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	2 **
	15.	1 *
	20.	4 ****
C37	25.	9 ****
	30.	6 ****
	35.	14 ****
	40.	7 ****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	5 ****
	5.	4 ****
	10.	3 ***
	15.	8 ****
C38	20.	4 ****
	25.	7 ****
	30.	6 ****
	35.	6 ****
	40.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	7 ****
	10.	7 ****
	15.	5 ****
	20.	9 ****
C39	25.	8 ****
	30.	5 ****
	35.	3 ***
	40.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	5.	13 ****
	10.	10 ****
	15.	8 ****
C40	20.	5 ****
	25.	5 ****
	30.	2 **
	35.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	2 **
	15.	1 *
	20.	3 ***
C41	25.	3 ***
	30.	2 **
	35.	10 *****
	40.	13 *****
	45.	10 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
	5.	8 *****
	10.	4 ****
	15.	5 *****
C42	20.	9 *****
	25.	2 **
	30.	7 *****
	35.	3 ***
	40.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	4 ****
	10.	5 *****
	15.	5 *****
	20.	5 *****
C43	25.	6 *****
	30.	6 *****
	35.	5 *****
	40.	10 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	2 **
	10.	6 *****
	15.	6 *****
C44	20.	3 ***
	25.	6 *****
	30.	9 *****
	35.	8 *****
	40.	5 *****

#### D. COMBAT ARMS OFFICER RESULTS

The competencies have been rank ordered according to their means. The first fifteen competencies in rank order are:

1. Plans and organizes
2. Develops subordinates
3. Effectively uses resources
4. Decisiveness
5. Takes initiative
6. Judgment
7. Delegates
8. Responsible
9. Flexibility
10. Oral communication skills
11. Disciplines
12. Job involvement
13. Manages to standards
14. Self-confidence
15. Team builds

The questionnaire data supporting this rank ordering follows.

NOTE: See Appendix A, Section B (Overall Results) for a listing of the competencies which correspond with the column numbers on the following pages.



C1	N = 75	MEAN =	12.027	ST.DEV. =	9.71
C2	N = 75	MEAN =	8.8933	ST.DEV. =	8.78
C3	N = 75	MEAN =	11.840	ST.DEV. =	9.66
C4	N = 75	MEAN =	19.253	ST.DEV. =	12.1
C5	N = 75	MEAN =	26.067	ST.DEV. =	11.0
C6	N = 75	MEAN =	19.253	ST.DEV. =	11.9
C7	N = 75	MEAN =	31.027	ST.DEV. =	10.1
C8	N = 75	MEAN =	26.907	ST.DEV. =	10.3
C9	N = 75	MEAN =	40.387	ST.DEV. =	6.79
C10	N = 75	MEAN =	37.653	ST.DEV. =	8.43
C11	N = 75	MEAN =	32.480	ST.DEV. =	8.10
C12	N = 75	MEAN =	20.467	ST.DEV. =	12.0
C13	N = 75	MEAN =	11.947	ST.DEV. =	9.55
C14	N = 75	MEAN =	19.120	ST.DEV. =	11.3
C15	N = 75	MEAN =	31.413	ST.DEV. =	7.99
C16	N = 75	MEAN =	37.467	ST.DEV. =	7.46
C17	N = 75	MEAN =	18.387	ST.DEV. =	11.8
C18	N = 75	MEAN =	12.747	ST.DEV. =	9.62
C19	N = 75	MEAN =	18.600	ST.DEV. =	9.42
C20	N = 75	MEAN =	20.253	ST.DEV. =	10.4
C21	N = 75	MEAN =	23.080	ST.DEV. =	10.6
C22	N = 75	MEAN =	18.533	ST.DEV. =	10.7
C23	N = 75	MEAN =	23.227	ST.DEV. =	8.48
C24	N = 75	MEAN =	24.760	ST.DEV. =	10.0
C25	N = 75	MEAN =	23.160	ST.DEV. =	11.3
C26	N = 75	MEAN =	23.107	ST.DEV. =	8.93
C27	N = 75	MEAN =	26.133	ST.DEV. =	11.4
C28	N = 75	MEAN =	18.480	ST.DEV. =	8.51
C29	N = 75	MEAN =	18.760	ST.DEV. =	9.56
C30	N = 75	MEAN =	19.507	ST.DEV. =	9.52
C31	N = 75	MEAN =	14.787	ST.DEV. =	9.59
C32	N = 75	MEAN =	12.307	ST.DEV. =	9.22
C33	N = 75	MEAN =	24.947	ST.DEV. =	12.7
C34	N = 75	MEAN =	27.013	ST.DEV. =	11.3
C35	N = 75	MEAN =	37.560	ST.DEV. =	6.92
C36	N = 75	MEAN =	12.960	ST.DEV. =	9.60
C37	N = 75	MEAN =	28.107	ST.DEV. =	10.5
C38	N = 75	MEAN =	19.267	ST.DEV. =	11.4
C39	N = 75	MEAN =	19.893	ST.DEV. =	10.3
C40	N = 75	MEAN =	13.013	ST.DEV. =	8.40
C41	N = 75	MEAN =	34.013	ST.DEV. =	11.2
C42	N = 75	MEAN =	18.267	ST.DEV. =	11.8
C43	N = 75	MEAN =	26.107	ST.DEV. =	11.1
C44	N = 75	MEAN =	25.307	ST.DEV. =	11.2

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS		
C1	0.	13	*****	
	5.	18	*****	
	10.	14	*****	
	15.	9	*****	
	20.	7	*****	
	25.	7	*****	
	30.	6	*****	
	35.	1	*	
C2		MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
		0.	17	*****
		5.	27	*****
		10.	12	*****
		15.	8	*****
		20.	6	*****
		25.	1	*
		30.	0	
	35.	3	***	
	40.	1	*	
C3		MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
		0.	11	*****
		5.	20	*****
		10.	12	*****
		15.	14	*****
		20.	7	*****
		25.	6	*****
		30.	0	
		35.	4	****
		40.	0	
	45.	1	*	
C4		MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
		0.	4	****
		5.	15	*****
		10.	11	*****
		15.	5	*****
		20.	7	*****
		25.	11	*****
		30.	10	*****
		35.	9	*****
		40.	2	**
	45.	1	*	

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	5	*****
	10.	6	*****
	15.	8	*****
	20.	7	*****
C5	25.	14	*****
	30.	9	*****
	35.	13	*****
	40.	12	*****
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	7	*****
	5.	10	*****
	10.	5	*****
	15.	13	*****
	20.	10	*****
C6	25.	9	*****
	30.	9	*****
	35.	7	*****
	40.	4	****
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	5.	3	***
	10.	4	****
	15.	1	*
	20.	8	*****
C7	25.	4	****
	30.	12	*****
	35.	18	*****
	40.	23	*****
	45.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	1	*
	5.	0	
	10.	7	*****
	15.	7	*****
	20.	11	*****
C8	25.	7	*****
	30.	17	*****
	35.	11	*****
	40.	11	*****
	45.	3	***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	1 *
	10.	0
	15.	1 *
	20.	1 *
C9	25.	1 *
	30.	3 ***
	35.	5 *****
	40.	21 *****
	45.	42 *****
		*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	1 *
	10.	0
	15.	3 ***
	20.	4 ****
C10	25.	2 **
	30.	4 ****
	35.	6 *****
	40.	33 *****
	45.	22 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	8.	1 *
	12.	1 *
	16.	2 **
	20.	3 ***
	24.	8 *****
C11	28.	8 *****
	32.	13 *****
	36.	13 *****
	40.	17 *****
	44.	9 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	5 *****
	5.	8 *****
	10.	10 *****
	15.	10 *****
	20.	11 *****
C12	25.	6 *****
	30.	7 *****
	35.	10 *****
	40.	7 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	11 *****
	5.	16 *****
	10.	19 *****
	15.	11 *****
	20.	9 *****
C13	25.	2 **
	30.	4 ****
	35.	1 *
	40.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	8 *****
	5.	2 **
	10.	14 *****
	15.	14 *****
	20.	9 *****
C14	25.	4 ****
	30.	15 *****
	35.	4 ****
	40.	5 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	1 *
	10.	0
	15.	3 ***
	20.	8 *****
C15	25.	9 *****
	30.	14 *****
	35.	24 *****
	40.	15 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	12.	1 *
	16.	1 *
	20.	4 ****
	24.	1 *
C16	28.	4 ****
	32.	2 **
	36.	13 *****
	40.	22 *****
	44.	27 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	4	****
	5.	12	*****
	10.	15	*****
	15.	8	*****
	20.	12	*****
C17	25.	6	*****
	30.	8	*****
	35.	2	**
	40.	6	*****
	45.	2	**

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	6	*****
	5.	22	*****
	10.	15	*****
	15.	9	*****
	20.	13	*****
C18	25.	2	**
	30.	5	*****
	35.	2	**
	40.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	1	*
	5.	6	*****
	10.	17	*****
	15.	12	*****
C19	20.	11	*****
	25.	16	*****
	30.	4	****
	35.	6	*****
	40.	1	*
	45.	1	*

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS	
	0.	1	*
	5.	8	*****
	10.	10	*****
	15.	13	*****
	20.	16	*****
C20	25.	10	*****
	30.	5	*****
	35.	6	*****
	40.	6	*****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
	5.	5 *****
	10.	3 ***
	15.	10 *****
C21	20.	12 *****
	25.	12 *****
	30.	15 *****
	35.	8 *****
	40.	6 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
	5.	13 *****
	10.	8 *****
	15.	15 *****
C22	20.	6 *****
	25.	11 *****
	30.	12 *****
	35.	3 ***
	40.	4 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	4.	2 **
	8.	4 ****
	12.	8 *****
	16.	5 *****
C23	20.	10 *****
	24.	14 *****
	28.	13 *****
	32.	8 *****
	36.	11 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	10 *****
	15.	8 *****
	20.	5 *****
C24	25.	21 *****
	30.	10 *****
	35.	12 *****
	40.	6 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	5.	7 *****
	10.	8 *****
	15.	10 *****
	20.	6 *****
C25	25.	12 *****
	30.	12 *****
	35.	9 *****
	40.	8 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	3 ***
	10.	11 *****
	15.	2 **
	20.	21 *****
C26	25.	15 *****
	30.	10 *****
	35.	9 *****
	40.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	7 *****
	10.	5 *****
	15.	6 *****
	20.	5 *****
C27	25.	9 *****
	30.	18 *****
	35.	11 *****
	40.	13 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	9 *****
	10.	11 *****
	15.	12 *****
	20.	18 *****
C28	25.	18 *****
	30.	0
	35.	6 *****
	40.	1 *



	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	10 *****
	10.	10 *****
	15.	13 *****
C29	20.	17 *****
	25.	9 *****
	30.	10 *****
	35.	1 *
	40.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
	5.	7 *****
	10.	9 *****
	15.	12 *****
	20.	14 *****
C30	25.	12 *****
	30.	13 *****
	35.	3 ***
	40.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	7 *****
	5.	9 *****
	10.	20 *****
	15.	13 *****
C31	20.	8 *****
	25.	9 *****
	30.	6 *****
	35.	2 **
	40.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	10 *****
	5.	18 *****
	10.	15 *****
	15.	14 *****
C32	20.	6 *****
	25.	6 *****
	30.	4 *****
	35.	1 *
	40.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	5.	10 *****
	10.	5 *****
	15.	7 *****
	20.	5 *****
C33	25.	5 *****
	30.	16 *****
	35.	12 *****
	40.	12 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
	5.	2 **
	10.	3 ***
	15.	7 *****
	20.	9 *****
C34	25.	8 *****
	30.	11 *****
	35.	18 *****
	40.	10 *****
	45.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	1 *
	10.	0
	15.	1 *
	20.	1 *
C35	25.	3 ***
	30.	6 *****
	35.	15 *****
	40.	28 *****
	45.	20 *****

	MIDDLE OF INTERVAL	NUMBER OBSERVATIONS
	0.	3 ***
	5.	26 *****
	10.	15 *****
	15.	12 *****
	20.	7 *****
C36	25.	5 *****
	30.	3 ***
	35.	0
	40.	4 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	2 **
	10.	4 ****
	15.	8 ****
	20.	3 ***
C37	25.	12 ****
	30.	7 ****
	35.	22 ****
	40.	12 ****
	45.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	8 ****
	5.	8 ****
	10.	6 ****
	15.	14 ****
	20.	8 ****
C38	25.	9 ****
	30.	9 ****
	35.	9 ****
	40.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	11 ****
	10.	10 ****
	15.	9 ****
	20.	11 ****
C39	25.	13 ****
	30.	10 ****
	35.	7 ****
	40.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
	4.	14 ****
	8.	13 ****
	12.	8 ****
	16.	17 ****
C40	20.	7 ****
	24.	6 ****
	28.	5 ****
	32.	0
	36.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	4 ****
	10.	3 ***
	15.	1 *
	20.	3 ***
C41	25.	6 *****
	30.	3 ***
	35.	17 *****
	40.	21 *****
	45.	17 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	6 *****
	5.	14 *****
	10.	8 *****
	15.	9 *****
	20.	13 *****
C42	25.	5 *****
	30.	8 *****
	35.	6 *****
	40.	6 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	5.	6 *****
	10.	7 *****
	15.	6 *****
	20.	7 *****
C43	25.	8 *****
	30.	16 *****
	35.	10 *****
	40.	14 *****
	45.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	5.	4 ****
	10.	9 *****
	15.	10 *****
	20.	3 ***
C44	25.	12 *****
	30.	11 *****
	35.	15 *****
	40.	8 *****
	45.	2 **

APPENDIX B  
BATTALION COMMANDERS' WORKSHOP

This appendix is subdivided into two parts. The first part is a copy of the workshop with a listing of the integrated generic competencies.

The second part summarizes the results from both the pre-test of the instrument and the administration with a group of four battalion commanders from the 7th Infantry Division. This part includes suggested changes and process observations.

A. BATTALION COMMANDERS' WORKSHOP (ORIGINAL COPY)

The following is a copy of the workshop. Below is a listing of the competencies integrated into the sketches.

CPT Jones: effectively uses resources  
plans and organizes; develops subordinates; energy.

CPT Lawson: decisiveness  
tolerance for stress; conceptualizes; self-control.

CPT Johnson: takes initiative  
team builds; applies rewards equitably; creativity; judgment.

CPT Adams: written communication skills  
creativity; sets goals and performance standards; understands.

CPT Carlson: effectively uses resources  
judgment; delegates; plans and organizes; positive expectations.

CPT Burnett: manages to standards  
plans and organizes; job involvement influences.

CPT Gorris: flexibility  
takes initiative; delegates; realistic positive regard.

CPT Schneider: manages to standards  
diagnostic understanding; plans and organizes; develops subordinates.

CPT Lincoln: self-confidence  
assertive; develops subordinates; delegates

CPT Lopez: oral communication skills  
team builds; decisiveness; listening skills.

### Battalion Commander Workshop

1. Situation: You have been selected to participate on a panel of (present or former) infantry battalion commanders. The panel's task is to select three officers from a group of ten well qualified candidates. The selected officers will command infantry companies which will participate in a special task force. (The details concerning this task force are not well defined. We do know that the selected commanders will lead their units into a combat type situation.)

2. Objective:

Performance: select 3 of 10 candidate officers

Conditions: given a sheet of information on each officer  
and all panel members agreeing on the selectees

Criterion: within one hour and fifteen minutes

3. Exercise Scenario:

a. A copy of the workshop will be given to each panel member. The panel has one hour and 15 minutes to make a decision as to whom it will select, that is, three of the ten.

b. The attached character sketches are fairly reliable. They are not OERs, that is, they can be taken at face value.

c. All panel members should openly voice personal opinions. Butcher paper, chalk boards and note pads may be used to facilitate the decision making process.

4. Technique: This technique has been successfully used by the armed forces of South Africa and the U.S. Navy. It is used to ascertain the competencies critical to job accomplishment for specified roles.

5. Analysis: The session will be taped and subsequently coded for the significant competencies. The identified competencies will be compared to other information already gathered in similar exercises.

CPT Jones

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1154*	OCS	JULY '79
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
EN MAINT OFF	AIRBORNE	INF PLT LDR
	MAINTENANCE COURSE	INF CO XO
	IOBC/IOAC	ASST BDE S4
DATE OF BIRTH	COMPANY COMMAND	RACE
OCT '52	PT. JACKSON TRAINING COMPANY	CAUCASIAN

CIVILIAN EDUCATION

BA U. OF COLUMBUS, GA.

\* Operations, plans, training, force development



CPT Jones

CPT Jones is currently an infantry battalion maintenance officer. His boss is the battalion executive officer who has provided this summary concerning CPT Jones' performance.

"CPT Jones is an outstanding battalion maintenance officer. He has an ability to match the people and jobs to get the best performance. He is constantly trying to improve our motor park efficiency in regards to organization and maintenance. He does not waste time."

"The battalion recently received a commendable satisfactory on the AGI. The battalion maintenance was especially noteworthy. Months ago just after the inspection date was published CPT Jones quickly identified the necessary steps, resources and obstacles which had to be addressed so as to insure the battalion was ready for the inspection. He developed special in house methods to monitor task progress. I was especially pleased with the innovative manner in which he organized and scheduled his people, their equipment and supported our maintenance effort in such a manner that success was all but assured."

"Finally, CPT Jones has a remarkable talent for making training opportunities out of practically every maintenance job. His enthusiasm is contagious. When he gives assignments to subordinates he gives explicit instructions. He follows up on each job assignment by providing information and encouragement as necessary to get the job done. He insures that what he says and does is a model for the entire section."

SPC Richards is the battalion maintenance NCOIC. He provided the following input concerning CPT Jones.

"CPT Jones is always on the go. He throws himself fully into everything he does. I believe it is his pep that has motivated our mechanics to produce outstanding results."

CPT Lawson

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1149*	USMA	JULY '80
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
AIDE DIV CG	AIRBORNE	INF PLT LDR
	RANGER	INF CO XO
	IOBC/AOAC	ASST BN S3
DATE OF BIRTH	COMPANY COMMAND	RACE
APRIL '55	8 ID (M)	CAUCASIAN

CIVILIAN EDUCATION

BS USMA

\*Operations research and systems analysis

CPT Lawson

The Division Commander provided the following report concerning the performance of his aide, CPT Lawson.

"CPT Lawson has performed his duties as my aide in an outstanding manner. Probably the deciding factor in his selection was his innate readiness to make decisions and then to take action. I like this in junior officers."

"In his current job CPT Lawson is required to display coolness despite considerable pressure. He is especially adept at working in situations where time is limited."

"CPT Lawson has an ability which I look for in my primary staff officers, that is, he rigorously searches for and identifies the pertinent facts and then organizes the facts and draws realistic inferences."

The division sergeant major provided the following comments concerning CPT Lawson.

"I have considerable respect for CPT Lawson. One of his key attributes is his ability to hold back an impulse to say or do something inappropriate. He never shows anger even when attacked. In difficult situations he makes decisions only after identifying and weighing all the facts. The CG is fortunate to have such an outstanding aide."

CPT Johnson

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1141*	ROTC	MAY '79
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
BATTALION S3 AIR	INPOC IOBC/IOAC RANGER	INF PLT LDR 4.2 PLT LDR INF CO XO
DATE OF BIRTH	COMPANY COMMAND	RACE
JUNE '54	3 AD MECH INF	JUNE '54 BLACK

CIVILIAN EDUCATION

MS JACKSONVILLE STATE U. (ALABAMA)

\* Personnel Program Management

CPT Johnson

CPT Johnson's boss is an infantry battalion S3. The S3 provided the following report.

"CPT Johnson is absolutely outstanding. He uses imaginative means to overcome obstacles. He is resourceful and persists in bringing assigned projects to a successful conclusion. He is not afraid to take new actions and or form new plans without being told to do so."

"CPT Johnson displays an attribute I especially appreciate, that is, he provides positive feedback to S3 staff members on their performance of specific tasks. He also does everything possible to see that deserving individuals are rewarded appropriately. He is a real team player. In this vain, he encourages other staff officers and company commanders to cooperate for the good of the battalion. (He has frequently recommended the creation of symbols to enhance unit pride and battalion development.)"

"CPT Johnson recently completed a battalion wide SQT train-up. He frequently acknowledged doubts and concerns about individual soldier abilities to perform to the SQT standards. He further indicated concern that several of the NCO cadre would not effectively carry out his instructions. I appreciated his willingness to express his displeasure, disappointment and concern about the shortcomings of individual performance."

The following comments were provided by the battalion operations sergeant.

"I like many things about CPT Johnson. He is an officer who is not afraid of failure. He is full of original ideas and knows how to apply them to battalion training. I am also impressed by the quality of his decisions. He has the ability to make rational and realistic decisions based on the available facts and organizational resources."

CPT Adams

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1141*	ROTC	MAY '81
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
ASST G1	RANGER IOEC/IOAC	INF PLT LDR INF CO XO INF BN S1
DATE OF BIRTH	COMPANY COMMAND	RACE
FEB '56	9 ID INF CO	CAUCASIAN

CIVILIAN EDUCATION  
BA SOUTHERN MISSISSIPPI STATE

\* Personnel Program Management

#### CPT Adams

CPT Adams' boss is the assistant division G1. He provided the following report concerning CPT Adams' performance.

"CPT Adams is an outstanding staff officer. He is routinely required to write letters and LOI s for the CG and Cofs. His writing is flawless, that is, he uses the proper structure and punctuation. Additionally he is uniquely gifted with the ability to write persuasively and succinctly. When I want something to flow logically and to be clearly understood by the reader I assign the task to CPT Adams."

"CPT Adams frequently espouses original ideas and applications. He does not think about failure; a real optimist."

"CPT Adams is the SIDFERS project officer for the G1. In this regard he has approached his job systematically, that is, he has established specific goals. He also sets deadlines for task performance and frequently displays concern when the standards are not met. This same mind-set applies both to himself and his small staff."

The division G1 sergeant major shares an office with CPT Adams. He provided the following input.

"I've worked with CPT Adams for nearly a year. I have been impressed by his ability to accept the feelings of another person. He has an ability to respond to personal needs and problems appropriately. Finally, he figures out a person's motivation and provides evidence to back up his diagnosis. He is a key member of our staff."

CPT Carlson

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1148*	USMA	JUNE '78
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
BDE S4	IOEC/IOAC MAINTENANCE COURSE	INF PLT LDR CSC XO SPT PLT LDR
DATE OF BIRTH	COMPANY COMMAND	RACE
FEB '49	1 ID CSC MECH INF	CAUCASIAN
CIVILIAN EDUCATION		
BS USMA		

\* Foreign Area Officer



CPT Carlson

CPT Carlson's boss is the brigade executive officer. The XO provides the following report concerning CPT Carlson's performance.

"CPT Carlson is an outstanding S4. He has a knack for defining the problem and ascertaining the likely outcome and somehow saves the brigade considerable costs. He is genuinely concerned about efficiency. He is always considering trade-offs between task requirements."

"I am especially pleased by his ability to consider the quality of each alternative. Somehow he makes rational and realistic decisions based on the available factual information and organizational resources."

"CPT Carlson's S4 staff is large compared with other S4 staffs which I have experienced. Due to the size of his work load and staff he must assign authority to others for task accomplishment. He does this superbly. He has a gift for encouraging people to seek task-management responsibilities."

"Finally, CPT Carlson's ability to set priorities by organizing tasks in a hierarchy of importance makes his staff section the best in the division. He makes his people think things through systematically ahead of time and then ranks the alternative courses of action."

The brigade S4 section sergeant provided the following comments concerning his boss, CPT Carlson.

"CPT Carlson is a real pleasure to work for. He possesses a strong conviction that people are capable of doing good work when given the chance. He treats each member of our shop as if they are important. His positive feelings for each of us makes working for him a pleasure."

CPT Burnett

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1154*	USMA	JUN '80
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
BN 54	SUPPLY COURSE	INF PLT LDR
	IOBC/IOAC	HHC IO
	AIRBORNE	SPT PLT LDR
	RANGER	
DATE OF BIRTH	COMPANY COMMAND	RACE
JAN '55	7 ID	CAUCASIAN
	INF CO	

CIVILIAN EDUCATION

BS USMA

\* Operations, plans, training, force development

#### CPT Burnett

CPT Burnett's rater is the infantry battalion executive officer. The XO provides the following report concerning CPT Burnett's performance.

"CPT Burnett has an uncanny ability to keep track of a job process by either seeking information on its progress or by direct observation. Additionally, when given a mission, he makes a considerable effort to surpass my minimum acceptable standards. He is a real professional, always strives for precision around mission accomplishment. He refuses to accept substandard performance in shop operations. (He has established procedures to monitor shop processes.)"

"CPT Burnett has put his shop into a efficiency mode which I have never before observed at this level. Specifically he displays an ability to effectively establish an appropriate course of action for himself and his staff in order to best accomplish specific missions. This ability encompasses the proper assignment of personnel and the appropriate use of battalion resources under his control."

"CPT Burnett is dedicated to mission accomplishment. He frequently puts in very long hours to insure his shop has performed to its absolute best potential. He assumes responsibility for his own actions and those of his staff. Finally, he is always working on his own knowledge and skill development. I am truly impressed by this outstanding officer."

The battalion S4 section sergeant provided the following input concerning CPT Burnett.

"CPT Burnett has an ability to sell his ideas by putting them in terms of others' self-interest. His selling process involves an explanation as to why; he shares information and communicates effectively. He locks-in our cooperation by making each section member feel significant."

CPT Gortis

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1149*	ROTC	MAY '79
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
ASST BDE S3	RANGER IOBC/IOAC	INF PLT LDR SCOUT PLT LDR ASST BN S3 AIR
DATE OF BIRTH	COMPANY COMMAND	RACE
NOV '54	25 ID CAV TROOP	CAUCASIAN

CIVILIAN EDUCATION

BA U. OF RHODE ISLAND

\* Operations Research & Systems Analysis

CPT Gorris

CPT Gorris is an assistant S3 for an infantry brigade. His boss is the brigade S3 who provided the following report concerning CPT Gorris's performance.

"CPT Gorris has the unique ability to adapt to new and changing situations. This is especially evident when he is faced with obstacles to mission accomplishment. He typically will respond with different, although pertinent arguments to achieve his goals."

"It is a joy to have an assistant like CPT Gorris because he develops innovative strategies to accomplish assigned missions. He typically will take action beyond what is required. He is also gifted with the sophistication to build and use personal contacts to solve problems."

"As the assistant S3 he has responsibility over a large range control staff. In this role he has frequently displayed an ability to use subordinates effectively. Specifically he allocates decision-making authority and fact finding responsibilities to the appropriate subordinates."

The brigade chemical NCO shares an office with CPT Gorris. He has frequently worked with and for CPT Gorris on a variety of S3 projects. He provides the following comments.

"CPT Gorris is always going out of his way to help the enlisted soldiers to solve personal problems. I like working with him because he is willing to learn from anyone. Additionally he is the EM's officer advocate to the "major" concerning the welfare of the soldiers in the section."

CPT Schneider

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1148*	ROTC	JAN '80
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
ASST G3 TNG	TCW TRAINER	INF PLT LDR
	AIRBORNE	TOW PLT LDR
	RANGER	4.2 PLT LDR
	IOBC/FAAC	CSC XO
DATE OF BIRTH	COMPANY COMMAND	RACE
DEC '54	25 ID	CAUCASIAN
	CSC	

CIVILIAN EDUCATION

MS U. OF KANSAS

\* Foreign Area Officer

CPT Schneider

CPT Schneider is an assistant G3 training officer. His boss is the G3 training officer who provided the following report concerning CPT Schneider's performance.

"CPT Schneider's primary job in the G3 training section is to manage the activities of the "Skills Evaluation Team". This team is part of a larger team, that is, the inspector general's inspection team. In regards to the performance of his job he constantly enforces high standards of performance on his team, that is, he insists that team members strive for excellence in the conduct of their testing. He frequently requires additional effort from team members when he perceives that the standards are not being met."

"As a member of the IG team he is frequently required to articulate explanations as to why people behave in certain ways. This is done in an effort to understand why a unit may have failed to perform as well as expected. This requirement forces CPT Schneider to recognize patterns in situations and behaviors. He also analyzes the test data for "real-ideal" discrepancies. His performance in this entire area has been absolutely outstanding."

"CPT Schneider sets priorities for his team by organizing and scheduling his personnel, their time and equipment to best accomplish the requirements. He has developed a technique in which he sets team priorities by organizing tasks in a hierarchy of importance."

The NCOIC of the "Skills Evaluation Team" provided the following input.

"CPT Schneider is always trying to coach and or transfer his expertise to other team members. After AGI trips he meets with each team member and gives behaviorally specific performance feedback."

CPT Lincoln

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1151*	USMA	JUNE '79
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
IOAC STUDENT	AIRBORNE	INF PLT LDR
	AIR GROUND SCHOOL	INF BN S2
	IOBC	INF CO XO
DATE OF BIRTH	COMPANY COMMAND	RACE
OCT '53	2D ID	BLACK
	INF CO	
CIVILIAN EDUCATION		
BS USMA		

\*Research & Development



#### CPT Lincoln

CPT Lincoln is currently a student in the Infantry Officer Advanced Course. The following performance update was compiled by the infantry school cadre from CPT Lincoln's file.

"During the course on instructional techniques CPT Lincoln expressed a strong belief in his expertise as an infantryman. He even calls himself a "professional infantry expert". During leadership seminars this same idea surfaces when he compares himself favorably to other infantrymen."

"During his 'Airland Battle' tactics classes he frequently takes charge of his work group and guides the group to a usually outstanding solution. He seems to be a natural leader."

"The Infantry School has a writing requirement for IOAC students. CPT Lincoln's papers acknowledge an enthusiasm for training. He obviously enjoys coaching subordinates by making training opportunities and by providing expert help. He also clearly assigns tasks to subordinates with explicitly stated goals for developing others' abilities."

CPT Lincoln's former first sergeant provided the following comments.

"CPT Lincoln knows how to use the chain of command to get subordinates to share in task accomplishment. He encourages people to seek responsibility; he avoids giving direct orders. I frequently observed him allocating decision-making authority and fact-finding responsibilities to appropriate subordinates. In every case he clearly assigned the appropriate authority to accomplish assigned tasks."

CPT Lopez

SPECIALTY	SOURCE OF COMMISSION	DATE OF RANK
1141*	OCS	NOV '80
PRESENT DUTY ASSIGNMENT	MILITARY EDUCATION	FORMER JOBS
DIV OESO	OE SCHOOL IOBC/IOAC IMPOC	INF PLT LDR INF BN S1 INF CO XO
DATE OF BIRTH	COMPANY COMMAND	RACE
APRIL '48	FT. BENNING TRAINING COMPANY	HISPANIC

CIVILIAN EDUCATION

BA CITY COLLEGE OF EL PASO

\* Personnel Programs Management

### CPT Lopez

CPT Lopez is an organization effectiveness (OE) consultant in an infantry division. His boss is the division G1 who provided the following report concerning CPT Lopez's performance.

"CPT Lopez's performance is difficult to evaluate because most of his clients are not required to submit after-action reports. Of those clients who have communicated with me it is apparent that CPT Lopez is an able communicator. Specifically, he communicates without the listener falling prey to multiple competing distortions. Additionally, when working with a unit he is required to instruct numerous people daily as to what needs to be done. He then tests the listener's comprehension by asking questions."

"One of his unique abilities is a knack for communicating the need for cooperation. He recommends how to create symbols and rituals for group identity, pride or team development. It is obvious that he firmly believes and practices this idea."

"Finally, I would like to provide a personal observation concerning CPT Lopez's performance on the division staff. I have noted a readiness to make decisions, to take action and then to commit himself to a project. This is a real strength."

SFC Wilson is the other half of CPT Lopez's OE team. He has worked with CPT Lopez for six months and provides the following comments.

"CPT Lopez has the ability to extract relevant information from oral communication. Somehow he takes in many items of information and then properly applies that information to the decision making process. I have learned many valuable methods of keying on important information from CPT Lopez."

# Candidate Data Sheet

NAME	SPEC	CCM SOURCE	DOB	PRESENT DUTY
JONES	1154	OCS	Jul 79	BN maint off
LAWSON	1149	USMA	Jul 80	Aide Div CG
Johnson	1141	ROTC	May 79	Bn S3 air
Adams	1153	ROTC	May 81	Asst G1
Carlson	1148	USMA	Jun 76	Bde S4
Burnett	1154	USMA	Jun 80	Bn S4
Gorris	1149	ROTC	May 79	Asst Bde S3
Schneider	1148	ROTC	Jan 80	Asst G3 Tag
Lincoln	1141	USMA	Jun 79	Student IOAC
Lopez	1121	OCS	Nov 80	Div OESO

NAME	MIL ED	FORMER JOBS	DOB	CO CMD
Jones	airborne maint cts IOBC/IOAC	INF plt ldr INF co xo asst Bde S4	Oct 52	Jackson TNG CO
Lawson	airborne ranger IOBC/AOAC	INF plt ldr INF co xo asst Bn S3	Apr 55	8 ID MECH INF
Johnson	IMPOC IOBC/IOAC ranger	INF plt ldr 4.2 plt ldr INF co xo	Jun 54	3 AD MECH INF
Adams	ranger IOBC/IOAC	INF plt ldr INF co xo INF BN S1	Feb 56	9 ID INF CO
Carlson	IOBC/IOAC maint csr	INF plt ldr CSC xo	Feb 49	1 ID MECH INF

		SPT	PLT	LDR		
Burnett	supply csr	INF	plt	ldr	Jan 55	7 ID
	IOBC/IOAC	BHC	xo			INF CO
	airborne	SPT	PLT	LDR		
	ranger					
Gorris	ranger	INF	plt	ldr	Nov 54	25 ID
	IOBC/IOAC	scout	plt	ldr		CAV TRP
		asst	Bn	S3	air	
Schneider	TOW TNGR	INF	plt	ldr	Dec 54	25 ID
	airborne	TOW	plt	ldr		CSC
	ranger	4.2	plt	ldr		
	IOBC/PAAC	CSC	xo			
Lincoln	airborne	INF	plt	ldr	Oct 53	2d ID
	air ground	INF	Bn	S2		INF CO
	IOBC	INF	co	xo		
Lopez	OE school	MF	plt	ldr	Apr 48	Banning
	IOBC/IOAC	INF	BN	S1		TNG CO
	IMPOC	INF	co	xo		

NAME	RACE	CIVILIAN EDUCATION
Jones	CAUCASIAN	BA U. OF COLUMBUS
Lawson	CAUCASIAN	BS USMA
Johnson	BLACK	BS Jacksonville State U. (Alabama)
Adams	CAUCASIAN	BA SOUTHERN MISSISSIPPI STATE
Carlson	CAUCASIAN	BS USMA
Burnett	CAUCASIAN	BS USMA
Gorris	CAUCASIAN	BA U. OF RHODE ISLAND
Schneider	CAUCASIAN	BS U. OF KANSAS
Lincoln	BLACK	BS USMA
Lopez	HISPANIC	BA City College of El Paso

Participant Information Sheet

The following information is requested to assist my understanding of the data to be gathered during this session. I have asked for your name(s) so that if I need to clarify something on the tape I might call and seek clarification. Your name will not be included in any write-up.

1. Name: \_\_\_\_\_

2. Unit: \_\_\_\_\_

3. Number of years service (total): \_\_\_\_\_

4. Prior tours: Please list any previous tours of duty which significantly impacted on your readiness to command. Additionally list Vietnam tours when you were in a leadership position.

(tour/unit/location)

(job title)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Please nominate outstanding former battalion commanders whom you have associated with either as a subordinate or a co-worker. These officers may be contacted and asked to grant a telephonic interview.

(name & current or most recent assignment)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## B. BATTALION COMMANDERS' WORKSHOP MECHANICS

1. The purpose of the workshop is to identify those competencies generic to effective infantry company commanders.

### 2. Methodology:

#### a. Parameters (self-imposed):

(1) Designed for small groups of battalion commanders (2-5).

(2) Workable within one and one-half hours.

#### b. Format:

(1) Prepare sketches for ten hypothetical infantry officers. (Sketches must be behaviorally specific and loaded with competency activities.)

(2) Twenty-nine competencies were loaded into the ten sketches. They are: efficiently uses resources, develops subordinates, decisive, conceptualizes, takes initiative, applies rewards equitably, judgment, sets goals and performance standards, delegates, manages to standards, influences, realistic positive regard, develops subordinates, assertive, listening skills, plans and organizes, energy, tolerance for stress, self-control, team builds, creative, written communication skills, understands, positive expectations, job involvement, flexibility, diagnostic, understanding, self-confidence and oral communication skills.

The competencies were randomly placed in groups of three to five to be loaded into the ten officer sketches.

(3) Biographical sketches to accompany each performance sketch were provided. The biographical information included: specialties, date of rank, military education, date of birth, race, source of commission, present duty position, former jobs, company command experience and civil education.

(4) The sketches were written as if they were provided by the officer's rater and senior subordinate.

c. Pre-Test of Workshop:

(1) On 17 May 1983 three combat arms officers from the TRADOC Extension at Monterey (TREM) participated in the workshop.

(2) The pre-test objective was:

TASK: 3 combat arms officers participate in a Battalion Commanders' workshop choosing 3 of 10 candidate officers to assume command of special infantry companies which will go into a combat situation.

CONDITIONS: given a two part instrument and 60 minutes

CRITERION: agreeing on 3 of 10 candidates

(3) The following questions and responses were administered/received to/from the pre-test participants.

a -- How long did it take you to read the sketches and feel comfortable with the material? 15-20 minutes

b -- Are ten sketches too many? How many would be better? 10 is right



c -- How can the natural momentum of the workshop be maintained? Provide both the biographical sketches and evaluations simultaneously.

d -- (The biographical sketches were handed to the participants 45 minutes after the evaluation sketches were presented.) What if any impact did Part II (biographical sketches) have on your final conclusions? How should this be changed? No impact. It is like a busy slide. Do not want names and race on the sketches.

e -- How do you feel about the participant sheet? Is there any information I am not asking that might be helpful? No.

f -- Are the workshop instructions clear? What would you add to clarify the instructions? Yes. Combine Parts I and II.

g -- Do the character sketches provide sufficient information to stimulate the conversations? Yes.

h -- How should the workshop room be set-up? Participants should be sitting around a large table. They need plenty of room to spread out their materials.

i -- What should I do to assist the workshop process? Consider appointing someone to be in charge of the process.

j -- How long will this workshop last? One to one and a half hours.

(4) Observer comments concerning the pre-test process:

a -- The group initially agreed upon the methodology for their decision process.

b -- The group needed either a chalk board or newsprint to aggregate their results.

(5) OECS Recommendations concerning the process:

a -- Put the biographical information on a cover sheet.

b -- The battalion commanders may take their boss's approach. This might be averted by getting a cross section of the brigades.

c -- Pay a courtesy call to the battalion commanders several days prior to the workshop to explain, in general terms, what the workshop is all about. This should include a courtesy call to the brigade commander. (This was done on 25 May 1983.)

d -- Follow-up the workshop with a letter to the chief of staff. Let him know the tentative results. (This was done on 6 June 1983.)

(6) Workshop on 27 May 1983:

a -- The workshop was conducted in the First Brigade's conference room. The room had five metal (gray) tables with twenty gray chairs. A bank of partially opened windows lined one wall and the other three were paneled. The microphone was located in the center of one table around which the battalion commanders sat.

b -- The commanders were briefed on the thesis background and the focus of their participation in the workshop. (See Section C, Workshop Briefing Slides.)

c-- During the course of the workshop the following questions were raised.

1--Why were source of commission and race included in the sketches?

2--Several of the secondary specialties were questioned.

3--The commanders wanted to know how long the candidates were in each of the listed jobs. They keyed on the length of their platoon leader and company commander experience tours.

4--The commanders gave more weight to command of TO&E companies than to training companies.

5--The commanders took forty (40) minutes to study the sketches. They placed considerable emphasis on the biographical material.

6--Once they began to discuss the material, each sharing his four top choices, only one officer candidate was found to be in common. That candidate was selected as the first of three.

7--Comments such as "this is not an easy exercise" and "they are all good" were heard by the observer.

(7) Detractors to the process:

a--Significance was given to the type of comments provided. In the case of what the CG said about CPT Lawson, note was made that nothing was said about CPT Lawson's "leadership" ability.

b--TO&E experience balanced the sketches in favor of those with TO&E company command experience.

c--There was no apparent difference between advanced courses.

d--One commander asked why weight and height were not included.

e--The conference room was not sound proof. Numerous distractions made concentration difficult.

(8) Future changes to consider.

a--Provide a listing of all specialties on a separate sheet.

b--Do not list race and source of commission on the biographical sheets.

c--Extend the workshop time to two hours.

d--Conduct the workshop in a distraction free room.

e--Show how long each officer was in each of the listed positions.

f--Balance the competency loadings better.

g--Balance the TO&E experiences.

### C. WORKSHOP BRIEFING SLIDES

The following slides were used by the author to introduce the workshop and prepare the participants for the workshop.

COMPANY COMMANDER COMPETENCY ASSESSMENT

- I. INTRODUCTION (10 minutes)
- II. BATTALION COMMANDER WORKSHOP (1 hours 15 min.)  
Why Bn Cdr? ..... They are experts concerning what makes a company commander successful.
- III. CONCLUSION (5 minutes)

W H O

- I.     \* INFANTRY OFFICER (1141)  
       \* CO CDR IN USAREUR  
       \* NPGS (18 MONTH CURRICULUM)
- II.    THESIS is sponsored by USAIS (LEADERSHIP DEPT)
- III.   THESIS ADVISOR is DR. MEL SPEHN  
       (Director of Training Developments, OECS)

## W H A T

### BACKGROUND

- I. Dec '82 MG Wetzel asked for competency research
- II. Editor of INFANTRY
- III. Leadership Chief (Major Owen)
- IV. Thesis proposal Jan '83

### PROPOSAL

- I. Develop a success oriented competency model for company commanders.
- II. Develop an instrument to measure the critical competencies of prospective company commanders. Once validated it will be used by the USAIS to identify student (IOAC) weaknesses.



W H Y

- I. Chief of Staff (Gen. Meyer) says this is important.
- II. Leadership and Ethics Center says it is important.  
FM 22-100, Military Leadership, Coordinating Draft  
Jan '83
- III. ARI will begin research on this area for branch  
schools this summer.
- IV. Army has a considerable investment in competency  
identification and assessment.

### B E N E F I T S

- I. To be given to new IOAC students to assist USAIS to better address individual weaknesses. The focus is on preparing officers for command.
- II. To assist all Army units with the identification of critical competency weaknesses.
- IV. Implications for evaluation process, that is, promotion and command selection.
- V. To suggest whether FM 22-100 and FM 100-5 are on target.

## COMPETENCY MODEL CONSTRUCTION

### I. LITERATURE SEARCH

### II. SURVEY

- \* NPGS STUDENTS (ARMY & MARINES-FORMER COMMANDERS)
- \* NTC OPERATIONS EVALUATION TEAM
- \* USAREUR (TWO BATTALIONS)
- \* OTHERS

### III. BATTALION COMMANDER WORKSHOP

- \* TRIAL RUN            MAY '83
- \* 7th ID                MAY '83
- \* 4th ID                AUG '83
- \* 197th Inf Bde        SEP '83

### IV. INTERVIEWS

- \* PRESENT AND FORMER BATTALION COMMANDERS

THESIS TIME TABLE: JAN-DEC 1983

JAN '83	THESIS PROPOSAL
MAR '83	SURVEY
MAY '83	MODEL SUMMARY
JULY '83	INSTRUMENT DEVELOPMENT
AUGUST '83	4th ID VALIDATION
SEPTEMBER '83	197th INF BDE VALIDATION
	IOAC VALIDATION
DECEMBER '83	SUBMISSION OF THESIS

AGENCIES AND UNITS CONTACTED

I.	MILPERCEN	TDY FUNDING
II.	USAIS * CG * LDRSHP DEPT * OESO	SPONSOR
III.	ARI	CORROBORATION
IV.	LEADERSHIP & ETHICS CENTER (LEAVENWORTH)	CORROBORATION
V.	NATIONAL TRAINING CENTER	SURVEY
VI.	USAREUR (INF BN)	SURVEY
VII.	IX CORPS	SURVEY
VIII.	7th ID	BN CDR WRKSHP
IX.	4th ID	VALIDATION OF INSTRUMENT
X.	197th INF BDE	VALIDATION OF INSTRUMENT
XI.	OECS	THESIS ADVISOR/SURVEY
XII.	NPGS	SURVEY/2nd READER
XIII.	COL. D. M. MALONE	INFORMATION
XIV.	McBER & CO. BOSTON	INFORMATION
XV.	CREATIVE THINK	INFORMATION

## I N S T R U M E N T

- I. PAPER AND PENCIL INSTRUMENT
- II. SELF-ASSESSMENT
- III. SUGGESTED COMPETENCY DEVELOPMENT ACTIVITIES
- IV. OTHER ASSESSMENT INSTRUMENTS

BATTALION COMMANDER WORKSHOP

- I. ASSUME THAT WE ARE IN WASHINGTON AT THE HOFFMAN BUILDING.
- II. YOU HAVE BEEN PROVIDED A TWO PAGE SUMMARY ON EACH CANDIDATE.
- III. YOU SHOULD APPROACH THIS EXERCISE AS IF IT IS A PROMOTION BOARD. YOU MAY BE THE COMMANDER OF THIS SPECIAL TASK FORCE.
- IV. SUGGESTED APPROACH:
  - \* DECIDE HOW YOU WILL APPROACH THE SOLUTION.
  - \* READ THE PACKET (15 minutes)
  - \* DISCUSS WHY YOU CHOSE EACH OFFICER
  - \* AGREE ON 3 OF 10
- V. INSTRUMENT/WORKSHOP IS LOADED WITH CRITICAL COMPETENCIES. YOUR DISCUSSION OF EACH OFFICER IS CRITICAL.

## CONCLUSION

### I. PARTICIPANT INFORMATION SHEET

- \* CLARIFICATION OF ISSUES
- \* NOMINATE OUTSTANDING FORMER BATTALION COMMANDERS

### II. FEEDBACK TO YOU AND THE CHIEF OF STAFF

- \* LETTER TO C OF S IN JUNE '83
- \* COPIES TO EACH PARTICIPANT



#### D. DATA ANALYSIS OF BATTALION COMMANDER WORKSHOP

1. The workshop was audio recorded. Additionally the author made notes of the proceedings.

2. After the session the author listened to the session three times recording any reference to one of the twenty-nine competencies. The frequency count was accumulated to include the direction pointing adjectives and adverbs.

3. The commanders identified thirteen of the twenty-nine competencies as critical to their selection process. Other experience factors were identified and are part of the preceding record.

4. The thirteen competencies and their definitions are provided below. (The competencies are not rank ordered.)

1. Effectively uses resources
2. Plans and organizes
3. Takes initiative
4. Manages to standards
5. Realistic positive regard
6. Develops subordinates
7. Delegates
8. Self-control
9. Team builds
10. Applies rewards equitably
11. Positive expectations
12. Decisive
13. Energy

## APPENDIX C

### SENIOR COMMANDER INTERVIEW RESULTS

This appendix is a summary of the data provided by the senior commanders who participated in the interviews for this study. The methodology for collecting the data is explained in Chapter II. The first fifteen competencies are listed in rank order below:

1. Develops subordinates
2. Plans and organizes
3. Takes initiative
4. Flexibility
5. Technical proficiency
6. Delegates
7. Team builds
8. Assertive
9. Judgment
10. Sets goals and performance standards
11. Effectively uses resources
12. Manages to standards
13. Decisiveness
14. Sets ethical example
15. Tolerance for stress

The data supporting this rank ordering follows. As in the case of the questionnaire data, the competencies for the interviews are rank ordered in-accordance-with their means.

NOTE: See Appendix A, Section B (Overall Results) for a listing of the competencies which correspond with the column numbers on the following pages.

C1	N = 10	MEAN =	1.8000	ST.DEV. =	0.789
C2	N = 10	MEAN =	2.3000	ST.DEV. =	0.675
C3	N = 10	MEAN =	2.3000	ST.DEV. =	0.949
C4	N = 10	MEAN =	1.8000	ST.DEV. =	1.14
C5	N = 10	MEAN =	0.20000	ST.DEV. =	0.422
C6	N = 10	MEAN =	1.7000	ST.DEV. =	1.16
C7	N = 10	MEAN =	0.50000	ST.DEV. =	0.972
C8	N = 10	MEAN =	0.50000	ST.DEV. =	0.850
C9	N = 10	MEAN =	0.30000	ST.DEV. =	0.949
C10	N = 10	MEAN =	0.20000	ST.DEV. =	0.632
C11	N = 10	MEAN =	0.90000	ST.DEV. =	1.20
C12	N = 10	MEAN =	1.4000	ST.DEV. =	1.17
C13	N = 10	MEAN =	2.5000	ST.DEV. =	0.707
C14	N = 10	MEAN =	1.6000	ST.DEV. =	1.26
C15	N = 10	MEAN =	1.1000	ST.DEV. =	0.738
C16	N = 10	MEAN =	0.0	ST.DEV. =	0.0
C17	N = 10	MEAN =	1.8000	ST.DEV. =	1.03
C18	N = 10	MEAN =	2.1000	ST.DEV. =	0.738
C19	N = 10	MEAN =	1.3000	ST.DEV. =	1.06
C20	N = 10	MEAN =	1.0000	ST.DEV. =	1.05
C21	N = 10	MEAN =	1.0000	ST.DEV. =	0.816
C22	N = 10	MEAN =	2.0000	ST.DEV. =	1.05
C23	N = 10	MEAN =	1.2000	ST.DEV. =	1.03
C24	N = 10	MEAN =	0.90000	ST.DEV. =	1.10
C25	N = 10	MEAN =	0.80000	ST.DEV. =	0.789
C26	N = 10	MEAN =	1.2000	ST.DEV. =	0.919
C27	N = 10	MEAN =	0.40000	ST.DEV. =	0.699
C28	N = 10	MEAN =	1.4000	ST.DEV. =	0.966
C29	N = 10	MEAN =	1.4000	ST.DEV. =	1.35
C30	N = 10	MEAN =	1.7000	ST.DEV. =	1.25
C31	N = 10	MEAN =	2.2000	ST.DEV. =	0.789
C32	N = 10	MEAN =	1.8000	ST.DEV. =	0.789
C33	N = 10	MEAN =	0.30000	ST.DEV. =	0.483
C34	N = 10	MEAN =	0.50000	ST.DEV. =	0.707
C35	N = 10	MEAN =	0.10000	ST.DEV. =	0.316
C36	N = 10	MEAN =	1.4000	ST.DEV. =	1.17
C37	N = 10	MEAN =	0.60000	ST.DEV. =	0.699
C38	N = 10	MEAN =	1.7000	ST.DEV. =	0.823
C39	N = 10	MEAN =	1.9000	ST.DEV. =	0.876
C40	N = 10	MEAN =	1.8000	ST.DEV. =	1.03
C41	N = 10	MEAN =	0.10000	ST.DEV. =	0.316
C42	N = 10	MEAN =	2.1000	ST.DEV. =	0.876
C43	N = 10	MEAN =	0.50000	ST.DEV. =	0.707
C44	N = 10	MEAN =	1.5000	ST.DEV. =	0.972

\* Note all values in column are identical.

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	4 ****
C1	2.	4 ****
	3.	2 **
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	1 *
C2	2.	5 *****
	3.	4 ****
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	3 ***
C3	2.	1 *
	3.	6 *****
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
C4	1.	1 *
	2.	4 ****
	3.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	8 *****
C5	1.	2 **
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
	1.	2 **
C6	2.	3 ***
	3.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	7 *****
	1.	2 **
C7	2.	0
	3.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	7 *****
C8	1.	1 *
	2.	2 **

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	9 *****
C9	1.	0
	2.	0
	3.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	9 *****
C10	1.	0
	2.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	5 *****
C11	1.	3 ***
	2.	0
	3.	2 **
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
C12	1.	2 **
	2.	3 ***
	3.	2 **
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	1 *
C13	2.	3 ***
	3.	6 *****
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
C14	1.	1 *
	2.	3 ***
	3.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
C15	1.	5 *****
	2.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C16	0.	10 *****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
C17	1.	3 ***
	2.	3 ***
	3.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	2 **
C18	2.	5 *****
	3.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
C19	1.	2 **
	2.	4 ****
	3.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
C20	1.	3 ***
	2.	2 **
	3.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
C21	1.	4 ****
	2.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
C22	1.	2 **
	2.	3 ***
	3.	4 ****

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
C23	1.	3 ***
	2.	3 ***
	3.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	5 *****
C24	1.	2 **
	2.	2 **
	3.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
C25	1.	4 ****
	2.	2 **
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
C26	1.	5 *****
	2.	2 **
	3.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	7 *****
C27	1.	2 **
	2.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	2 **
C28	1.	3 ***
	2.	4 ****
	3.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	4 ****
C29	1.	1 *
	2.	2 **
	3.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
C30	1.	0
	2.	4 ****
	3.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	2 **
C31	2.	4 ****
	3.	4 ****
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	4 ****
C32	2.	4 ****
	3.	2 **



	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	7 *****
C33	1.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	6 *****
C34	1.	3 ***
	2.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	9 *****
C35	1.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	3 ***
	1.	2 **
C36	2.	3 ***
	3.	2 **
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	5 *****
C37	1.	4 *****
	2.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	1.	2 **
C38	2.	6 *****
	3.	1 *
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	1.	4 *****
C39	2.	3 ***
	3.	3 ***
	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
	0.	1 *
	1.	3 ***
C40	2.	3 ***
	3.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C41	0.	9 *****
	1.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C42	0.	1 *
	1.	0
	2.	6 *****
	3.	3 ***

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C43	0.	6 *****
	1.	3 ***
	2.	1 *

	MIDDLE OF INTERVAL	NUMBER OF OBSERVATIONS
C44	0.	1 *
	1.	5 *****
	2.	2 **
	3.	2 **

## APPENDIX D

### U.S. ARMY PRE-COMMAND SELF-ASSESSMENT HANDBOOK 1983

This appendix is subdivided into three sections. The first section is a copy of the Handbook.

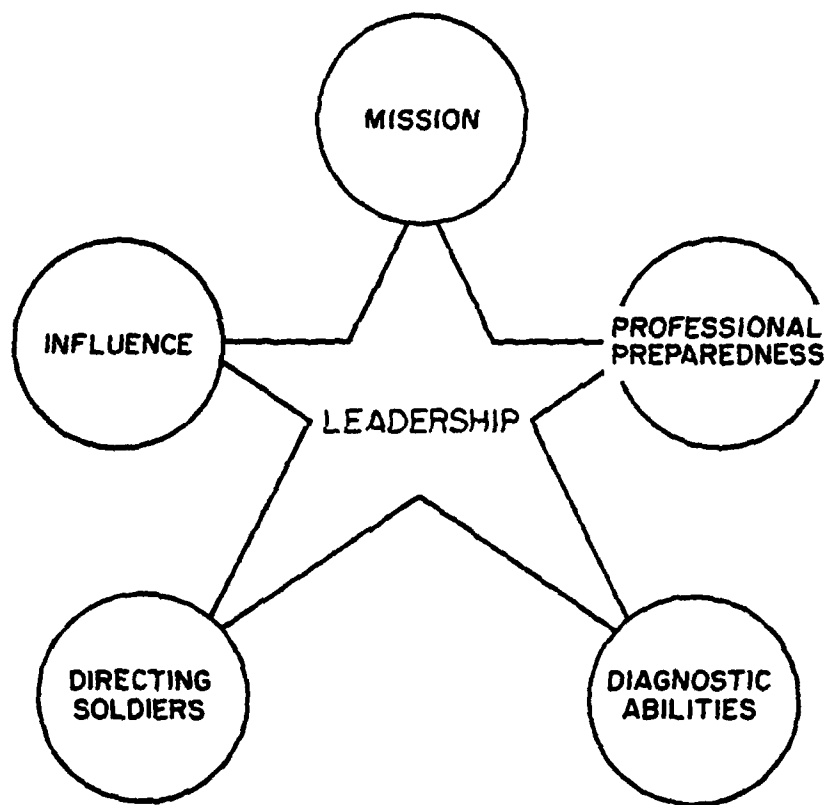
The second section is a copy of the validation instruments used with battalion commanders to validate the company commander inputs. Additionally the "raw" data provided by the company commanders is listed.

The final section is a listing of check data provided by ten combat arms officers (all former company commanders) enrolled in CAS Cubed in August 1983. Additionally the changes and rationale for the changes to the basic solution ranges is provided.

A. PRE-COMMAND SELF-ASSESSMENT HANDBOOK 1983

The following thirty-seven pages represent the handbook. The pages have been slightly reduced to accommodate the thesis requirements. Additionally, the original has colored pages; each phase in Parts III and IV correspond so to assist the respondent in the self-assessment process.

## PRE-COMMAND SELF ASSESSMENT HANDBOOK 1983



**UNITED STATES ARMY**

"NO MAN IS A LEADER UNTIL HIS APPOINTMENT IS RATIFIED  
IN THE HEARTS AND MINDS OF HIS MEN."

ANONYMOUS

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page 2

Part A: Future Company Commanders:  
Self-Assessment

A. FOCUS ON SUCCESS: Describing a "successful" company commander can be difficult. On the other hand, improving ones probability of "success" as a company commander requires an acceptance that most "success" oriented company commander skills can be defined behaviorally.

This instrument was designed with the following assumptions in mind:

- the role of the company commander can be described behaviorally
- "success" as a company commander can be defined behaviorally using critical competencies
- "success" oriented competencies can be rank ordered as they apply to defining what makes a "successful" company commander
- officers participating in this exercise desire to be "successful" company commanders

This instrument is designed to provide a glimpse at "Your Company Commander Competency Model". The intent is to assist you with the identification and then acknowledgment of important competency weaknesses so you can best prepare to become a "successful" company commander. Encouraging you to develop a commitment to self improvement and a well thought out plan to achieve self development objectives rounds out the focus of this document.

B. TIME INVESTMENT: This document will take 60 minutes of your time. It may very well be the most worthwhile 60 minute investment you will make during your military career.

C. WHAT IS COMPETENCE? In his paper "An

Army of Excellence" Colonel D. M. Malone, describes what is meant by behaviorally specific company commander skills, that is, company commander competencies. He says "Competence, in a leader, is a function of some combination of his knowledge, skills and attitudes. It also occupies a central role in those fundamental soldier qualities which calibrate our Army, as a whole, of the battlefield."

"It is possible to develop, from extensive military research, in military units, a picture of what competence looks like in a leader ... what he does, and what he says ... and how he acts ... on the job, day-to-day, working on the unit's missions."

"Take the knowledge of the matrix; run that through the wisdom of leadership experience; multiply that by what the leader has been taught and has practiced; and that by the motivation of the leader; and the end result is an overall picture of ... the competence of a military leader."

D. DEGREE OF APPLICABILITY: Research suggests that the degree to which a competency applies likely changes as one progresses from role to role. Specifically, 'political sensitivity' may be insignificant for an infantry team leader but absolutely essential to a division commander.

As you participate in this instrument keep in mind that the degree of applicability of each competency will necessarily vary: (1) vary in accordance with the different levels of experience and types of experience brought to the job, (2) philosophies of command will vary and therefore competencies and (3) everyone is not alike. What makes one person "successful/competent" in

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command may not work for another.

As you take the instrument assess the importance of each behavior in terms of how you perceive CPT Effective would behave. (CPT Effective will be introduced in the next part of this instrument.)

Be very careful! This instrument is easy to beat. Beat it you can but if you do this instrument will be of little value to you. If you fail to be honest with yourself in responding to the questions you will be the only one to suffer. Keep in mind, this document is yours to keep. No one will ask to see your results. It is, however, an excellent beginning place for someone serious about becoming the best company commander he can be. Good Luck!

E. RESEARCHER'S CAUTION: The source of this instrument is personal opinion. This opinion is impaired by asking the participant to project himself into a role, with which he should be very familiar, yet a role he has never occupied. Given this pitfall the researcher acknowledges that the reliability of the instrument is linked with (1) the participant's experience with self-evaluation instruments and (2) how honest he is with himself. The tendency for the participant may well be to deceive himself into believing that he is different than his peers and seniors would acknowledge.

Despite this reservation the value of comparing one's probable behavior with that of proven "successful" role behavior is meaningful. Further, the exercise of thinking through "proper" behaviors for a given role will have redeeming professional value.

F. INSTRUMENT OUTLINE:

Part I: Instrument Introduction

Part II: CPT Effective: The Appearance of a "successful" Cdr.

Part III: Your Competency Model

Part IV: Where you are and Where "THEY" say you should be

Part V: Now What?

When used in this publication, "he", "him", and "men" represent both masculine and feminine genders unless otherwise stated.

Part II: CPT Effective: The Appearance of a "Successful" Commander

The following sketch is suggested to reflect what appears to be a description of a "successful" company commander. This sketch should be used to gauge your responses for Part III, "Your Competency Model".

LTC Righton, battalion commander for the 95th Infantry, provided the following description concerning CPT Effective's performance as an infantry company commander over the past year.

CPT Effective is an outstanding company commander. During the past year I have observed that he has a knack for focusing his energy on doing the right things at the right time. He has an uncanny ability to use imaginative and unusual means to overcome obstacles. Best of all, CPT Effective takes new actions without being told to do so and then persists until the mission is accomplished.

During a recent FTX CPT Effective led his unit flawlessly. He demonstrated an ability to think things through systematically ahead of time. This was evident in his tactical plans. This ability enabled him to properly set priorities by organizing unit tactical tasks in their hierarchy of importance. Additionally he developed methods to track the task and then strived for precision around mission accomplishment. (I like company commanders to set standards and then insist they are met; CPT Effective does this in an outstanding manner.)

CPT Effective is good with soldiers. He knows how to match the soldier with the job in order to get the best performance. When soldiers do not perform as expected he expresses his displeasure and then explains how the job can be done either faster or more efficiently.

I suspect one reason his company does so well is because CPT Effective possesses a strong conviction that people are capable of doing good work when given the chance.

This positive feeling about soldiers and his willingness to go out of his way to help has significantly contributed to unit morale.

ISG Hardcharger provided the following input concerning his company commander, CPT Effective.

I enjoy working for CPT Effective because he clearly assigns authority to his subordinates for task accomplishment. He makes every mission a team effort by using the chain of command to get subordinates to share in mission accomplishment.

CPT Effective is always turning unit activities into training opportunities. He is a real enthusiast about soldier development. He knows his maintenance and weapons and enjoys sharing his expertise, in a non-threatening manner. Best of all he knows how to give constructive feedback. The soldiers really respect him!

CPT Effective does everything possible to see that deserving soldiers are rewarded appropriately. This has contributed to the unit's good morale.

Finally, he is not afraid to make a decision, to take action or commit himself. He does this with enthusiasm. His style is contagious, so much so, that everyone in the company takes pride in being part of CPT Effective's team.



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Part III: Your Competency Model

In this section you will be asked to assess your skills as a future company commander. For each of the five phases of company commandership there is a list of relevant behavioral activities (competencies). For each phrase (behavior) you are to indicate (a) the IMPORTANCE of that behavior to "success" as a company commander and (b) the FREQUENCY in which this behavior would reflect your activities given that you were in command at this time. (You should try and project yourself into command as you evaluate each behavior. Given your present "abilities" how would you react/behave?) Once you have scored both parts A and B for each behavior then precede to Part C, Matrix Scoring Instructions.

A sample item is given below:

	"A"	"B"	"C"
	IMPORTANCE	FREQUENCY	MATRIX
COLUMN A: Indicate the IMPORTANCE of this activity to being a "successful" CO CDR. Choose one of the five alternatives and write the corresponding number in the blank in column A to the right of the activity.	(1) None (2) Not Very (3) Some (4) Considerable (5) Extremely	(1) Never (2) Seldom (3) Sometimes (4) Usually (5) Always	
COLUMN B: Indicate how FREQUENTLY you foresee yourself doing this activity given your present abilities. Choose one of the five alternatives and write the corresponding number in the blank in column B to the right of the activity.			
COLUMN C: Do not complete at this time.			

Demonstrates a knack for using the right metaphors

5

4

If, for example, you feel that the behavior indicated above is extremely important to being a "successful" company commander you write a "5" in the "A" column, as has been done in the example. And, if you feel you "usually" display (or would) the behavior indicated above, you would write a "4" in the "B" column. Remember, for each item you are to indicate both your selection of importance and the anticipated frequency of the behavior as displayed in the example.

Section A: Response Sheets

- Mission Dimension: Phase I
- Professional Preparedness Dimension: Phase II
- Influence Dimension: Phase III
- Directing Soldiers Dimension: Phase IV
- Diagnostic Ability Dimension: Phase V

Section B: Matrix Scoring Instructions

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SECTION A: Mission Dimension: Phase I

COLUMN A: Indicate the IMPORTANCE of this activity to being a "successful" CO CDR. Choose one of the five alternatives and write the corresponding number in the blank in column A to the right of the activity.

COLUMN B: Indicate how FREQUENTLY you foresee yourself doing this activity given your present abilities. Choose one of the five alternatives and write the corresponding number in the blank in column B to the right of the activity.

COLUMN C: Do not complete at this time.

"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

1. matches people & jobs to get best performance			
2. takes action beyond what is necessarily called for			
3. strives for precision around mission accomplishment			
4. develops methods to keep track of tasks, progress			
5. defines problems, outcomes as significant cost/savings in resources			
6. establishes specific goals			
7. uses imaginative or unusual means to overcome an obstacle			
8. keeps track of a work process by seeking information on its progress			
9. sets deadlines for task's performance			
10. organizes & schedules people, material or activities in new ways to accomplish tasks			
11. resourceful and persistent			
12. expresses displeasure to specific individuals when time/effort is clearly wasted			

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"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

13. requires additional effort from others when related standards are not met			
14. identifies action steps, resources/obstacles involved in reaching an objective			
15. adapts quickly to changing circumstances			
16. anticipates to situations, rather than reacting to them			
17. concerned with standards & task performance			
18. thinks things through systematically ahead of time and ranks the alternative courses of action			
19. makes effort to surpass existing standards			
20. considers trade-offs between task requirements and people's morale			

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Section A: Professional Preparedness Dimension: Phase II

COLUMN A: Indicate the IMPORTANCE of this activity to being a "successful" CO CDR. Choose one of the five alternatives and write the corresponding number in the blank in column A to the right of the activity.

COLUMN B: Indicate how FREQUENTLY you foresee yourself doing this activity given your present abilities. Choose one of the five alternatives and write the corresponding number in the blank in column B to the right of the activity.

COLUMN C: Do not complete at this time.

"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

1. makes personal sacrifice for professional gain as army officer (stays the course)			
2. expresses belief in own expertise			
3. actions influenced by limited time constraints			
4. works on own knowledge and skill development			
5. when faced with barriers or obstacles to mission accomplishment he can respond with different arguments, techniques or leadership styles to achieve the goal			
6. pinch hits for others when necessary to get the job done			
7. describes self as a star/expert			
8. displays a confident calmness in looks and behavior during situations which are stressful			
9. tends to assume responsibility for own actions or areas over which he has authority			
10. ability to adapt to new or changing situations			
11. stability of performance under pressure and opposition			

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"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

12. expresses enthusiasm for past or prospective challenges			
13. compares self favorably to others			

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Section A: Influence Dimension: Phase III

COLUMN A: Indicate the IMPORTANCE of this activity to being a "successful" CO CDR. Choose one of the five alternatives and write the corresponding number in the blank in column A to the right of the activity.

COLUMN B: Indicate how FREQUENTLY you foresee yourself doing this activity given your present abilities. Choose one of the five alternatives and write the corresponding number in the blank in column B to the right of the activity.

COLUMN C: Do not complete at this time.

"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

1. communicates the need for cooperation			
2. holds back an impulse to say or do something inappropriate			
3. quick, active, full of pep, vigorous			
4. does not show anger under attack			
5. acts to create symbols and rituals for group identity, pride and team development			
6. takes charge of situation and guides effort to solution			
7. makes decision only after identifying and weighting all the facts			
8. readiness to make decisions, take action and commit one-self			
9. organizes teamwork for important non-routine tasks that require cooperation between individuals and among work groups			
10. throws himself into everything he does			

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Section A: Directing Soldiers Dimension: Phase IV

COLUMN A: Indicate the IMPORTANCE of this activity to being a "successful" CO CDR. Choose one of the five alternatives and write the corresponding number in the blank in column A to the right of the activity.

COLUMN B: Indicate how FREQUENTLY you foresee yourself doing this activity given your present abilities. Choose one of the five alternatives and write the corresponding number in the blank in column B to the right of the activity.

COLUMN C: Do not complete at this time.

"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

1. expresses enthusiasm for training			
2. expresses concern when subordinates are not respected, rewarded or thanked			
3. provides information and encouragement necessary to get job done			
4. receives many orders orally which must be properly applied in decision making process			
5. uses chain of command to get subordinates to share in task accomplishment			
6. officially recognizes people for their accomplishments			
7. does everything possible to see that deserving individuals are rewarded appropriately			
8. holds subordinates accountable and gives appropriate discipline			
9. through methods other than direct orders, encourages people to seek task-management responsibility			
10. attempts to comfort and watch-out for the welfare of subordinates			
11. coaches by making training opportunities, expert help and other resources available to subordinates			

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"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

12. assigns tasks to subordinates with explicitly stated goals of developing others' abilities or self-image			
13. provides negative feedback to subordinates on inappropriate appearance, behavior or performance			
14. goes out of way to help subordinates solve personal problems			
15. clearly assigns authority to others for task accomplishment			
16. provides positive feedback to people on their performance of a specific task			
17. ability to extract relevant information in oral communication			



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Section A: Diagnostic Ability: Phase V

COLUMN A: Indicate the IMPORTANCE of this activity to being a "successful" CO CDR. Choose one of the five alternatives and write the corresponding number in the blank in column A to the right of the activity.

COLUMN B: Indicate how FREQUENTLY you foresee yourself doing this activity given your present abilities. Choose one of the five alternatives and write the corresponding number in the blank in column B to the right of the activity.

COLUMN C: Do not complete at this time.

"A"	"B"	"C"
IMPORTANCE	FREQUENCY	MATRIX
(1) None	(1) Never	
(2) Not Very	(2) Seldom	
(3) Some	(3) Sometimes	
(4) Considerable	(4) Usually	
(5) Extremely	(5) Always	

1. analyzes information about a situation by comparing what exists now with what ideally should exist, in order to develop an overall plan of action			
2. states another person's perspective in a disagreement			
3. ability to make rational and realistic decisions based upon factual information and consideration of organization resources			
4. espouses original ideas and applications			
5. recognizes patterns in situations and behaviors			
6. demonstrates ability to create			
7. rigorously searches for and identifies the available facts			
8. considers quality of the decision			
9. gives articulated and plausible explanation of why people behave in certain ways			
10. organizes facts and draws realistic inferences			

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Part III: Your Competency Model  
Section B: Matrix Scoring Instructions

Once you have completed each of the preceding worksheets, you should go back and complete the matrix score for each line, that is, the "C" column.

The matrix scoring is very easy. Follow these simple directions:

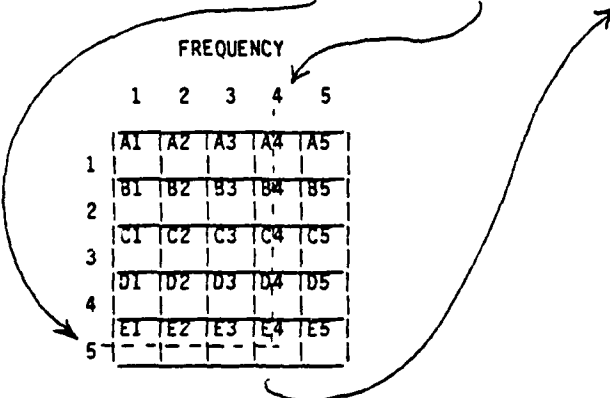
- (1) Do one activity at a time.
- (2) Enter the Matrix Table (below) with the "IMPORTANCE" score (column A) on the left side.
- (3) With your "FREQUENCY" score (column B) find the intersection with your "IMPORTANCE" score.
- (4) The intersection is your Matrix Score for that activity.
- (5) Write your Matrix Score beside the appropriate activity in the space provided.

EXAMPLE:

	A	B	C
Demonstrates a knack for using the right metaphors	5	4	E4

		FREQUENCY				
		1	2	3	4	5
IMPORTANCE	1	A1	A2	A3	A4	A5
	2	B1	B2	B3	B4	B5
	3	C1	C2	C3	C4	C5
	4	D1	D2	D3	D4	D5
	5	E1	E2	E3	E4	E5



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Part IV: Where you are and Where "they" say you should be

Section A: Where you are

In this section you will aggregate the results of Part III and form "Your Competency Model". Specifically, you will become aware of areas that possibly need improvement before you assume command. The simple directions follow:

(1) You will begin with page 16 and the competency "Effectively Uses Resources" progressing competency by competency until you have completed the last competency (Creative) on page 20.

(2) Extract page 6 (Phase I: Mission Dimension) and page 16 (Phase I: The Aggregated Model Worksheet). With both pages in front of you, begin to transcribe the appropriate Matrix Scores. For example, if for the competency "Effectively Uses Resources" your Matrix Score was D3 for behavior 1, write "D3" in the blank under the column Matrix Scores and to the right of the behavior number "1". Follow the same procedure for each behavior indicated for that competency.

Example:

EFFECTIVELY USES RESOURCES		MATRIX SCORES		ALLOWABLE VARIANCE
BEHAVIOR			SOLUTION RANGE:	
<input type="checkbox"/>	1	<u>D3</u>	D3-5, E3-5	
	5	<u>C1</u>	C2-5, D2-5, E2-5	1
	12	<u>E4</u>	E3-5	
	20	<u>D4</u>	D1-5, E1-5	

(3) Once the Matrix Scores are transcribed to the appropriate blanks, CIRCLE those Matrix Scores which are NOT included in the SOLUTION RANGE.

Example:

EFFECTIVELY USES RESOURCES		MATRIX SCORES		ALLOWABLE VARIANCE
BEHAVIOR			SOLUTION RANGE:	
<input type="checkbox"/>	1	<u>D3</u>	D3-5, E3-5	
	5	<u>C1</u>	C2-5, D2-5, E2-5	1
	12	<u>E4</u>	E3-5	
	20	<u>D4</u>	D1-5, E1-5	

(4) Total the number of Matrix Scores circled for each competency. In the example above only one score has been circled. Compare this number (1) with the ALLOWABLE VARIANCE. If the number of matrix scores you circled is greater than the ALLOWABLE VARIANCE for each competency then put an "X" in the box beneath the competency name. Otherwise leave the box empty.

(5) Follow steps 1-4 for each competency listed on pages 16 through 20.

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Section A: Aggregated Model Worksheet

Phase I: Mission Dimension

1. EFFECTIVELY USES RESOURCES

BEHAVIOR 1  
5  
12  
20

MATRIX SCORES

Solution Range:  
D4-5, E4-5

C2-5, D2-5, E2-5

C3-5, D3-5, E3-5

D3-5, E3-5

Allowable  
Variance:

1

2. PLANS AND ORGANIZES

BEHAVIOR 4  
10  
14  
18

MATRIX SCORES

Solution Range:  
D3-5, E3-5

C3-5, D3-5, E3-5

D3-5, E3-5

C3-5, D3-5, E3-5

0

3. TAKES INITIATIVE

BEHAVIOR 2  
7  
11  
15  
16

MATRIX SCORES

Solution Range:  
C3-5, D3-5, E3-5

C3-5, D3-5, E3-5

D3-5, E3-5

D4-5, E4-5

D4-5, E4-5

1

4. MANAGES TO STANDARDS

BEHAVIOR 3  
8  
13  
19

MATRIX SCORES

Solution Range:  
D3-5, E3-5

D3-5, E3-5

D3-5, E3-5

D4-5, E4-5

1

5. SETS GOALS & PERFORMANCE STANDARDS

BEHAVIOR 6  
9  
17

MATRIX SCORES

Solution Range:  
E4-5

D4-5, E4-5

D4-5, E4-5

1

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Section A: Aggregated Model Worksheet

Phase II: Professional Preparedness Dimension

1. SELF-CONFIDENCE

MATRIX SCORES

Allowable  
Variance:

BEHAVIOR 2

Solution Range:  
C2-5, D2-5, E2-5

7

B2-5, C2-5, D2-5, E2-5

13

B2-5, C2-5, D2-5, E2-5

0

2. RESPONSIBLE

MATRIX SCORES

BEHAVIOR 9

Solution Range:  
E4-5

0

3. JOB INVOLVEMENT

MATRIX SCORES

BEHAVIOR 1

Solution Range:  
C3-5, D3-5, E3-5

4

D3-5, E3-5

6

C3-5, D3-5, E3-5

12

D3-5, E3-5

1

4. TOLERANCE FOR STRESS

MATRIX SCORES

BEHAVIOR 11

Solution Range:  
E3-5

3

C3-5, D3-5, E3-5

8

D3-5, E3-5

0

5. FLEXIBILITY

MATRIX SCORES

BEHAVIOR 5

Solution Range:  
D4-5, E4-5

10

E4-5

0

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Phase III: Influence Dimension

1. DECISIVE

BEHAVIOR 8

MATRIX SCORES

Solution Range:  
D4-5, E4-5

Allowable  
Variance:

0

2. TEAM BUILDING

BEHAVIOR 1

5

9

MATRIX SCORES




Solution Range:  
D3-5, E3-5

C3-5, D3-5, E3-5

0

D3-5, E3-5

3. ASSERTIVE

BEHAVIOR 6

MATRIX SCORES

Solution Range:  
D4-5, E4-5

0

4. ENERGY

BEHAVIOR 3

10

MATRIX SCORES



Solution Range:  
C3-5, D3-5, E3-5

C4-5, D4-5, E4-5

0

5. SELF-CONTROL

BEHAVIOR 2

4

7

MATRIX SCORES




Solution Range:  
D3-5, E3-5

C3-5, D3-5, E3-5

0

D4-5, E4-5

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Section A: Aggregated Model Worksheet

Phase IV: Directing Soldiers Dimension

1. DELEGATES

BEHAVIOR 5  
9  
15

MATRIX SCORES

Solution Range:  
D4-5, E4-5  
D3-5, E3-5  
D4-5, E4-5

Allowable  
Variance:

0

2. DEVELOPS SUBORDINATES

BEHAVIOR 1  
3  
11  
12

MATRIX SCORES

Solution Range:  
D4-5, E4-5  
D3-5, E3-5  
D3-5, E3-5  
C3-5, D3-5, E3-5

1

3. APPLIES REWARDS EQUITABLY

BEHAVIOR 6  
7  
16

MATRIX SCORES

Solution Range:  
D3-5, E3-5  
D3-5, E3-5  
D3-5, E3-5

0

4. REALISTIC POSITIVE REGARD

BEHAVIOR 2  
10  
14

MATRIX SCORES

Solution Range:  
D4-5, E4-5  
D4-5, E4-5  
C3-5, D3-5, E3-5

0

5. DISCIPLINES

BEHAVIOR 8  
13

MATRIX SCORES

Solution Range:  
D4-5, E4-5  
D3-5, E3-5

0

6. LISTENING SKILLS

BEHAVIOR 4  
17

MATRIX SCORES

Solution Range:  
D3-5, E3-5  
D4-5, E4-5

0

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Section A: Aggregated Model Worksheet

Phase V: Diagnostic Ability Dimension

1. DIAGNOSTIC UNDERSTANDING

BEHAVIOR 2

5

9

2. CONCEPTUALIZES

BEHAVIOR 1

7

10

3. JUDGMENT

BEHAVIOR 3

8

4. CREATIVE

BEHAVIOR 4

6

MATRIX SCORES

\_\_\_\_\_ B2-5, C2-5, D2-5, E2-5  
\_\_\_\_\_ D3-5, E3-5  
\_\_\_\_\_ C2-5, D2-5, E2-5

Allowable  
Variance:

0

MATRIX SCORES

\_\_\_\_\_ Solution Range:  
D4-5, E4-5  
\_\_\_\_\_ D3-5, E3-5  
\_\_\_\_\_ D3-5, E3-5

0

MATRIX SCORES

\_\_\_\_\_ Solution Range:  
E4-5  
\_\_\_\_\_ D3-5, E3-5

0

MATRIX SCORES

\_\_\_\_\_ Solution Range:  
D3-5, E3-5  
\_\_\_\_\_ C3-5, D3-5, E3-5

0



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Part IV: Section B: Where "they" say you should be

Research has produced numerous competency models for military roles. The research on the role of the company commander has been done in various ways but only recently in terms of competencies.

The competencies (behaviors) in Part III were identified by hundreds of former company commanders as being important to "success" for a company commander. (The model construction was based upon survey, interview and special workshop data.)

The "SOLUTION RANGE" in Section A of this Part were based upon actual responses provided by company commanders in the field. Thus when you compare your responses with those of officers in command you begin to see "HOW YOU MEASURE UP". Part V of this instrument will help you to focus on "What Now". Before leaving this Part it might be helpful to look at some of the results from recent field studies.

A. Survey: More than 100 former company commanders (and a few still in command) were given a listing of 44 competencies with operationalized definitions and asked to rank order the competencies based upon their importance to success in command. The top ranked competencies are listed by priority:

1. Plans and organizes
2. Effectively uses resources
3. Takes initiative
4. Delegates
5. Develops subordinates
6. Judgment
7. Decisive
8. Responsible
9. Flexibility
10. Sets goals and performance standards
11. Disciplines
12. Team builds
13. Sets ethical example
14. Manages to standards
15. Tolerance for stress

B. Battalion Commander Workshop: Battalion commanders in groups of 3 or 4 were tasked to choose 3 of 10 candidate officers to assume command of 3 infantry companies destined to go into a combat like environment. The battalion commanders were provided a 2 page sketch concerning each candidate, that is, what the candidate's boss and senior subordinate had to say about the officer. Based upon their choice of the 3 (best) the following listed competencies were determined to be essential to success: (They are not in rank order.)

TAKES INITIATIVE  
DELEGATES  
PLANS AND ORGANIZES  
EFFECTIVELY USES RESOURCES  
POSITIVE EXPECTATIONS  
MANAGES TO STANDARDS  
REALISTIC POSITIVE REGARD  
DEVELOPS SUBORDINATES  
SELF-CONTROL  
TEAM BUILDS  
APPLIES REWARDS EQUITABLY  
DECISIVENESS  
ENERGY

C. Senior Commander Interviews: Based upon numerous interviews with Battalion and brigade commanders from active Army units the following competencies were considered to be highly correlated with success in command (They are rank ordered):

1. Develops subordinates
2. Plans and organizes
3. Takes initiative
4. Flexibility
5. Technical proficiency
6. Delegates
7. Team builds
8. Assertive
9. Judgment
10. Decisive
11. Sets goals and performance standards
12. Effectively uses resources
13. Manages to standards
14. Sets ethical example
15. Tolerance for stress

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D. The following competencies and their operationalized definitions are provided for your future reference.

1. APPLIES REWARDS EQUITABLY
  - provides positive feedback to people on their performance of a specific task
  - officially recognizes people for their accomplishments
  - does everything possible to see that deserving individuals are rewarded appropriately
2. ASSERTIVE
  - takes charge of situation and guides effort to solution
3. CONCEPTUALIZES
  - rigorously searches for and identifies the available facts
  - organizes facts and draws realistic inferences
  - analyzes information about a situation by comparing what exists now with what ideally should exist, in order to develop an overall plan of action
  - draws conclusions and makes judgments based on and supported by factual evidence
  - ability to take a creative idea and translates it to practical applications
4. CREATIVITY
  - demonstrates ability to create
  - espouses original ideas and applications
  - likely to take risks and not think about failure
  - not use word for failure but uses glitch, false start or bolix
5. DECISIVE
  - readiness to make decisions, take action or commit oneself
6. DELEGATES
  - clearly assigns authority to others for task accomplishment
  - uses chain of command to get subordinates to share in task accomplishment
  - through methods other than direct orders, encourages people to seek task-management responsibility
  - ability to use subordinates effectively
  - allocating decision-making authority and fact-finding responsibilities to appropriate subordinates
7. DEVELOPS SUBORDINATES
  - coaches by making training opportunities, expert help and other resources available to subordinates
  - expresses enthusiasm for training
  - assigns tasks to subordinates with explicitly stated goals of developing others' abilities or self-image
  - provides information and encouragement necessary to get job done
  - consciously models desired behavior
  - transfers his expertise to others through example
  - gives behaviorally specific performance feedback
8. DISCIPLINES
  - provides negative feedback to subordinates on inappropriate appearance, behavior or performance
  - holds subordinates accountable and gives appropriate discipline

9. EFFECTIVELY USES RESOURCES

- matches people and jobs to get best performance
- defines problems, outcomes as significant cost/savings in resources
- designs systems to improve efficiency
- expresses displeasure to specific individuals when time/effort clearly wasted
- fully uses human resources available for tasks
- explicitly mentions doing something faster or more efficiently
- considers trade-offs between task requirements and people's morale
- expresses annoyance at things that slow tasks

10. ENERGY

- throws himself into everything he does
- quick, active, full of pep, vigorous
- the vigor with which he pursues his tasks, activities

11. FLEXIBILITY

- when commander is faced with barriers or obstacles to mission accomplishment, he can respond with different arguments, technical or leadership styles to achieve the goal
- ability to adapt to new or changing situations (adaptability)

12. JOB INVOLVEMENT

- makes personal sacrifice for professional gain as an army officer (stays the course)
- works on own knowledge and skill development
- expresses enthusiasm for past or prospective challenges
- pinch hits for others when necessary to get the job done
- puts in very long hours to get a job done
- assumes responsibility for own actions
- disciplines self by doing what he knows his duty requires

13. JUDGMENT

- considers quality of decision
- ability to make rational and realistic decisions based upon factual information and and consideration of organizational resources

14. LISTENING SKILLS

- company commander receives many orders orally which must be properly applied to in decision making process
- ability to extract relevant information in oral communication

15. MANAGES TO STANDARDS

- keeps track of a work process by seeking information on its progress or by direct observation
- makes effort to surpass existing mission standards
- strives for precision around mission accomplishment

16. PLANS AND ORGANIZES

- sets priorities by organizing tasks in hierarchy of importance
- identifies action steps, resources and obstacles involved in reaching an objective
- develops methods to keep track of tasks, progress (prepares an action plan)
- organizes and schedules people, material or activities in new ways to accomplish a task
- thinks things through systematically ahead of time (at least three steps are taken) and he ranks the alternative courses of action
- ability to effectively establish an appropriate course of action for self and or others to accomplish specific goals, make proper assignments of personnel, and appropriate use of resources

17. POSITIVE EXPECTATIONS

- possesses strong conviction that people are capable of doing work when given the chance
- has generalized positive feelings for people
- believes that subordinates are valuable resources

18. REALISTIC POSITIVE REGARD

- attends to comfort and welfare of subordinates
- expresses concern when subordinates are not respected, rewarded or thanked
- goes out of way to help subordinates solve personal problems
- gives credit where credit is due
- expresses confidence in subordinates' ability to do well
- willingness to learn from subordinates
- makes realistic assessment of what individual is capable of (avoids unfair blame)

19. RESPONSIBLE

- tends to assume responsibility for own actions or areas over which he has authority

20. SELF-CONFIDENCE

- expresses belief in own expertise
- describes self as a star/expert
- compares self favorably to others

21. SELF-CONTROL

- holds back an impulse to say or do something inappropriate
- does not show anger under attack
- makes decisions only after identifying and weighing all the facts
- controls the urge to "do it myself" and instead manages others to take responsibility for tasks assigned to them

22. SETS ETHICAL EXAMPLE

- candor demonstrated in day to day activities
- mutual trust demonstrated in interpersonal actions
- speaks and acts in such a manner that socially unacceptable activities or ideals are not associated with him

23. TAKES INITIATIVE

- uses imaginative or unusual means to overcome obstacle
- is resourceful and persistent
- builds and uses personal contacts to solve problems
- takes new actions or forms new plans without being told to do so
- persists in overcoming obstacles
- anticipates situations, rather than reacting to them
- develops innovative strategies to accomplish a mission
- takes action beyond what is necessarily called for
- actively influencing events rather than passively accepting existing procedures
- originates actions rather than just responding to events
- adapts quickly to changing circumstances
- focuses energies on doing the right thing

24. TEAM BUILDS

- communicates the need for cooperation
- organizes teamwork for important non-routine tasks that require cooperation between individuals and among work groups
- acts to create symbols and rituals for group identity, pride or team development (custom - recognizes things being done)

25. TOLERANCE FOR STRESS

- stability of performance under pressure and opposition
- company commander actions influenced by limited time constraints
- company commander may experience stress as result of opposition to ideas (group pressure or task difficulty)
- endurance
- displays a confident calmness in looks and behavior during situations which are stressful
- ability to make timely and appropriate changes in thinking, plans or methods when you see, or when others convince you that there is a better way

Part V: Now What?

You have completed "Your Competency Model". Possibly you have identified certain competencies which you would like to strengthen. (Those competencies "X'd" in Part IV are identified as possibly in need of strengthening.) What can you do? You have several options:

- (1) do nothing (a common tendency)
- (2) make a "resolution" to improve
- (3) seek further confirmation
- (4) develop a self-improvement plan based upon proven "success" oriented competencies

Likely, if you have completed Parts III and IV, you will want to do something positive about those competencies you determined need to be strengthened. After all, as indicated in Part I, we assumed that you want to be the best company commander you can be. Thus we submit that a combination of options 3 and 4 (above) is your best course of action.

A. Confirmation of the Model: With your model in hand (or in mind) ask your peers and seniors to confirm your findings. Yes, it might be risky! Surprisingly, many people will be caught off guard by your initiative. Tell them why. Tell them you want to be prepared for command and in order to properly prepare you have completed a self-assessment instrument which has suggested that you have certain areas which might need to be strengthened. You might then name the specific competencies and discuss their definitions. Ask your peer or senior to verify your findings (either way) using specific examples of when this competency has been a strength or weakness. (You might find that others perceive your identified "weaknesses" as strengths.)

CAUTION: Do this with both peers and seniors who have worked with you for sometime. Do not rely on just one person's opinion. Seek several opinions about each area you want to strengthen.

As you seek their "confirmation" take note of specific examples they use to either confirm or deny that your area of concern needs to be strengthened. Once you are satisfied that you have consulted with enough of your peers and seniors, then sit down and compare Your Competency Model with your notes. The result should be a better picture of you and your critical "success" behaviors.

B. Self-Improvement Plan: One of the competencies generic to "most" successful leaders is self-discipline. If "success" in command is a genuine personal goal then you should have a plan and the self-discipline to follow through. Don't let the chips "fall as they will". You are smarter than that. "Plan to be all you can be!"

Before you begin your plan consider this:

- (1) Remember you are an OK person and a professional soldier. To get the full benefit of YOUR plan YOU FIRST NEED TO ACCEPT YOURSELF, "WARTS AND ALL".
- (2) "Your Competency Model" is only a starting point. That is why it is important to be "up front" with yourself about specifically what needs to be different and to be really serious about bringing the appropriate changes about. DECIDE WHAT YOU WANT TO IMPROVE.
- (3) A goal without a plan is just a wish. Once you have identified your area(s) of focus define it in concrete terms, decide how to reach your objective, and stick to your strategy. MAKE A STEP-BY-STEP PLAN.

There are a multitude of techniques for planning your way to more effective "success" oriented behaviors. There are many techniques which you likely learned either in the basic course or elsewhere. An alternative to these processes is offered on the next page for your consideration.

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C. Your Plan: Select a competency you want to strengthen. (This will be your first objective.) Write it here.

1. I want to \_\_\_\_\_

2. I will be a more effective CO CDR if I accomplish this because: \_\_\_\_\_

3. How can I gain or strengthen this skill? List as many as you can think of. Look at the specific behaviors in the competency you are concerned about improving. (See the competency definition in Part IV.) Review the Resource List for this competency, found at the end of this handbook. To improve this competency I could:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

4. Which of the above listed actions will help me best reach my objective? Which one sounds "do-able"? Which can be implemented within the time and resources I have available? (This is your self-improvement plan for the specified competency.)

I will \_\_\_\_\_

5. How will I know when I have accomplished my objective?

I will know I have accomplished my objective when \_\_\_\_\_

(Does this planning technique sound familiar? TASK, CONDITION, STANDARD)

6. Repeat steps 1-5 for each competency which you want to improve. Be careful! Don't bite off more than you can handle. Do one at a time.

7. Once you have implemented your plan and it has stretched and matured your abilities, you need to confirm whether you have changed. Revisit some of those people who helped you to confirm those areas you wanted to strengthen. Confirm through specific examples that you have changed.

Competency Resource List:

Resources to help you in your self-improvement efforts are organized around the same company command phases used in the instrument -- Mission, Professional Preparedness, Influence, Directing Soldiers and Diagnostic Ability. Many articles, professional papers, field manuals and books which address the general topic of "success" oriented competencies are included in the attached resource lists.

The resource list focuses on both military and civilian materials that will likely be available on most military installations. The lists are limited and only provide a starting point. They provide a sampling of the material in the field. They were chosen from hundreds of references using these criteria: (1) "how to" references which will assist the participant's self-improvement planning and (2) content specific references which key on the competencies. The reader is the final judge as to how to manage his time and therefore what references will meet his specific needs. Warning: Do not expect one or all references to produce immediate results. They should be used as a road map and will not necessarily make your trip to a "successful" command any shorter, although they should make it easier. Your best source of strengthening your competency weaknesses is by way of on the job experience.

How to Use this Listing: To locate the self-help resources turn to the section of the resource list which addresses the phase (dimension) you wish to strengthen. You will find a listing of resources which apply to the competencies within that dimension. The numbers in parenthesis after each reference

refer to one of the competencies listed at the top of the page. (A list of general references is provided after Phase V. These references are commended to you as resources of valuable information.)

For Indepth Study: Computer assisted searches of subject matter materials are available. The Defense Technical Information Center, Cameron Station, Alexandria, Virginia 22314, can provide technical report summaries of all DOD publications by topic. Additionally, many large civilian and military libraries offer similar services. Ask your local librarian if such a service is available.



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Phase I: Mission Dimension

1. Effectively uses resources
2. Plans and organizes
3. Takes initiative
4. Manages to standards
5. Sets goals and performance standards

Blanchard, Kenneth and Johnson, Spencer, The One Minute Manager, Escondido, Ca: Blanchard-Johnson, 1981. Provides step-by-step suggestions to managers to help subordinates set goals, to give them praise, deliver reprimands and conduct teaching and coaching responsibilities. Fun to read but contains very sage advice. (3,4,5)

Bliss, Edwin C. Getting Things Done: The ABCs of Time Management, Scriber's, 1976. Advice for developing effective patterns of time use in a business setting. (1)

Carrington, Jamus H., Command Control Compromise, Naval Institute Press, Annapolis, Maryland, 1973. (2,3)

Collins, Arthur S., Common Sense Training, Presidio Press, 1980.

Drucker, Peter F., "The Effective Decision," Harvard Business Review, Jan-Feb 1967. A six-step decision making process is described. Drucker stresses that decision making must be systematic, with clearly defined elements and a distinct sequence of steps. (2,4)

-----Effective Planning, USAOECs, ST 26-150-7, Ft. Ord, Ca.

Jervert, Glenn, "The Road to Success is Paved with Goals," Supervisory Management, Nov 1975. This brief article describes how to set goals and the nature of the goals. To be effective objectives must be specific, challenging, realistic, attainable, and measureable. (5)

Likert, Rensis, New Patterns of Management, McGraw-Hill, New York, 1961. This classic book describes how participative management improves communication, speeds decision making and permits more effective use of an organization's most valuable asset -- the employees. (1)

Mackenzie, Alec. R., "The Management Process in 3-D," Harvard Business Review, Nov-Dec 1969. A classic article which presents graphically the three major functions of management-- planning, administering and leading. These are broken down into very specific functions and the inter-relationships of these areas are clearly shown. (2)

Oncken, William, "Management Time: Who's Got the Monkey?," Harvard Business Review, Nov-Dec 1974. (1)

-----Problem Solving, USAOECs, ST 26-150-8, Ft. Ord, Ca.

VanGundy, Arthur, Techniques of structured problem solving, Van Nostrand Reinhold, NY, 1981. VanGundy has produced a well-researched, well-organized, and well-indexed aid to creative problem solving. The book contains information on 70 techniques with each one carefully addressed as to its origins, structure, situations where it works best and its inherent limitations. (2,5)

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Phase II: Professional Preparedness Dimension

- |                    |                         |
|--------------------|-------------------------|
| 1. Self-confidence | 4. Tolerance for stress |
| 2. Responsible     | 5. Flexibility          |
| 3. Job involvement |                         |

Bourne, Peter G. (editor), The Psychology and Physiology of Stress, Academic Press, 1969.  
Refers to special studies of the Vietnam War. (1,3,4)

-----Conflict Management, USAOECS, ST 26-150-4, Ft. Ord, Ca. (4)

Culbert, Samuel A., The Organization Trap and How to Get Out of It, Basic Books, 1974.  
(2,3)

Dyer, Wayne W., Your Erroneous Zones, Funk & Wagnalls, 1976. (4,5)

Fast, Julius, Body Language, Pocket Books, 1970. (1)

Gabriel, Richard A. and Savage, Paul L., Crisis in Command: Mismanagement in the Army, Hill and Wang, 1978.

Hays, Samuel H. and Thomas, William N. (editors), Taking Command, Stackpole Company, Harrisburg, Pa, 1967.

Lair, Jess, I Ain't Much Baby But I'm All I've Got, New York: Fawcett Crest (paperback), 1972. One of the better self-help books which provides practical, step-by-step information on how to accept yourself and become the person you want to be. (1)

Levinson, Harry, Executive Stress, New American Library, 1975. (4)

-----Management of Stress in Organizations, RB 26-13 USAOECS, Ft. Ord, Ca.

Selye, Hans, Stress without Distress, USAOECS, ST 26-150-01, Ft. Ord, Ca. (4)

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Phase III: Influence Dimension

- |                  |                 |
|------------------|-----------------|
| 1. Decisiveness  | 4. Energy       |
| 2. Team building | 5. Self-control |
| 3. Assertive     |                 |

Barnes, L.B., "Managing the Paradox of Organizational Trust," Harvard Business Review, Mar-Apr 1981. This article is about trust -- how it can be destroyed by acting on three simple assumptions and how it can be created and maintained. (2,5)

Berlo, David K., The Process of Communication: An Introduction to Theory and Practice, Holt, 1960. (2,3)

Blumenson, Martin, The Patton Papers 1885-1940, Boston: Houghton Mifflin, 1972.

Deal, Terry and Kennedy, Allen, Corporate Culture, Reading, MA: Addison-Wesley Publishing Company, Inc. 1982. The thesis of this book is that companies have a milieu. Case histories describe how this culture comes about, how it is maintained and inculcated in new employees. (2)

Dyer, William G., Team Building: Issues and Alternatives, Reading, MA: Addison-Wesley, 1979. Explores the nature of team building and the role it plays in organizational development. It describes how to design team building programs. (2)

Kolivosky, Michael E., and Taylor, Lawrence J., "Earmarks of an Effective Management Team," K-T Notes, Bulletin 153, Coldwater, Michigan: Patterson Co. Apr, 1978. Enumerates the ways in which one can identify a well-functioning work group. Describes how to create and maintain an effective team. (2)

Malone, Dandridge M., "Teamwork," Infantry, May-June, 1983. (2)

Marshall, S.L.A., Ambush, Cowles Book Co., Inc., NY, 1969. (1,2,3,5)

Pepinsky, Pauline N., Pepinsky, H.B. and Pavlik, W.B., "The Effects of Task Complexity and Time Pressure Upon Team Productivity," Journal of Applied Psychology, VOL. 44, No. 1, 1960.

Shaw, E. and Rutledge, P., "Assertiveness Training for Managers," Training and Development Journal, Sep 1976, Vol. 30(9).

Sherwin, Douglas S., "Strategy for Winning Employee Commitment," Harvard Business Review, May-June 1972. An approach for eliciting employee commitment is described. Reliance on leadership and shared objectives rather than power is advocated.

Wells, Theodore, Keeping Your Cool Under Fire: Communicating Non-Defensively, New York: McGraw-Hill, 1979. Contains a wealth of potential ideas for coping with conflict through improving communication skills. Case histories and suggested activities and clarity and practicality to the advice. (1,5)

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Phase IV: Directing Soldiers Dimension

- |                              |                              |
|------------------------------|------------------------------|
| 1. Delegates                 | 4. Realistic positive regard |
| 2. Develops subordinates     | 5. Disciplines               |
| 3. Applies rewards equitably | 6. Listening skills          |

Dyer, Wayne W., Counseling Techniques that Work: Applications to Individual and Group Counseling, APGA Press, 1975. (2,6)

Foltz, Roy G., Management by Communication, Chilton, 1973. (2,6)

Department of the Army, Field Manual 22-101, Leadership Counseling (6)

Gellerman, Saul W., Management by Motivation, American Management ASSN, 1968.

Herzberg, Fredrick, "One more Time: How Do You Motivate Employees?," Harvard Business Review, Jan-Feb, 1968. Alternatives to KITA (Kick employees in the Tail) approaches to motivation are described. Herzberg presents specific steps to job enrichment which is, in his opinion, the key to higher productivity.

Human Synergistics, Inc., "Upgrading Quality and Acceptance in Your Group," (booklet) from Creative Management, by Norman Maier and John J. Hayes, Plymouth, Michigan: Human Synergistics, Inc. (undated) pg. 26. The two essential elements of a decision, its quality and acceptance are discussed. The importance of considering both factors is emphasized. The value of participation and how to work with subordinate groups is emphasized. The value of participation and how to work with subordinate groups to develop both elements are treated.

Loen, Raymond O., Manage More by Doing Less, McGraw-Hill, 1971. This book helps you to bridge the gap between time management and delegation, by making the distinction between managing and doing. Offers specific advice on planning, directing and controlling management activities.

Mills, Ernest P., Listening: Key to Communication, Petrocelli Books, 1974.

Myers, M. Scott, Every Employee a Manager: More Meaningful Work Through Job Enrichment, New York: McGraw-Hill, 1970.

Nichols, Ralph G., Are you Listening?, McGraw-Hill, 1957. (6)

Spitzer, Dean S. "30 Ways to Motivate Employees to Perform Better," Training/HRD, Mar, 1980. pp 51-56. Presents a comprehensive list of specific ways managers can encourage employees to be more productive. Not all will work but the collection is an excellent thought starter.

Sutermester, People and Productivity, New York: McGraw-Hill, 1969.

Phase V: Diagnostic Ability Dimension

- |                             |             |
|-----------------------------|-------------|
| 1. Diagnostic understanding | 3. Judgment |
| 2. Conceptualizes           | 4. Creative |

Adams, J.L., Conceptual Blockbusting, San Francisco: W.H. Freeman & Co., 1974. Adams examines aspects of thinking which are essential for improving one's conceptual abilities, but which are often underemphasized in our education. The book offers exercises for identifying and overcoming many mental blocks to our creativity. (2)

Argyris, Chris, "Interpersonal Barriers to Decision Making," Harvard Business Review, Mar-Apr, 1966. This article reports the results of a study of six representative companies. There is a need to close the gap between what executives say and how they behave when making decisions. It is essential that barriers to communication are broken down. How to accomplish this challenge is described.

Campbell, J.P., Take the Road to Creativity and Get Off Your Dead End, Niles, IL: Argus Communications, 1977. With an enthusiastic personal style, Campbell presents creativity as a rewarding part of an active life. There are chapters on the nature of creativity, characteristics of creative people, family and organizational influences on creativity, and the importance of a risk-taking spirit -- all presented in an interest-holding collage of advice, description, anecdotes, puzzles, exercises, and upbeat graphics. (1,4)

deBono, Edward, Lateral Thinking: Creativity Step by Step, Harper Colophon, 1970. de Bono is one of the most prolific writers on the topic of creativity. He coined the term "lateral thinking" and, in this book, he forges a number of very useful links between creativity and management. (4)

Easton, Allan, Decision Making: A short Course in Problem Solving for Professionals, Wiley, 1976.

Gordon, W.J.J., Synectics, New York: Collier Books, 1961. The Synectics approach to problem solving is based on the hypothesis that the irrational and emotional are more important in the creative process than the intellectual and rational. Gordon describes his research and discusses the psychological theories supporting the Synectics techniques. (1)

Kepner, C.H., & Trego, B.B., The Rational Manager, New York: McGraw-Hill, 1965. This eminently readable and practical book helps the manager to improve his problem solving and decision making by efficient use of information. The authors present a decision-making model which is particularly useful for idea sorting. (1)

Oxenfeldt, "Effective Decision Making for the Business Executive," Management Review, Feb 1978, pp. 25-44.

Prince, G., The Practice of Creativity, New York: Harper & Row, 1970. Prince worked with W.J.J. Gordon in the development of Synectics. His book provides detailed descriptions of the rules, roles, and mechanisms of the Synectics problem-solving technique.

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General Resources:

Adams, John D., Transition: Understanding and Managing Personal Change, Allahheld, Osmun & Co., 1976.

Argyris, Chris, and Schon, D., Theory in Practice: Increasing Professional Effectiveness, San Francisco: Jossey-Baas, 1974.

Argyris, Chris, "The CEO's Behavior: Key to Organizational Development," Harvard Business Review, Mar-Apr, 1973. pp. 55-64. Four programs where the CEO's behavior caused programs to fail. Each is analyzed and an approach to organizational change that will reduce the credibility gap between management theory and executive behavior is suggested.

Blake, R.L., Mouton, J.S., and Bryson, E.D., "The Military Leadership Grid," Military Review, Vol. 48, No. 6, 1968, pp. 3-18.

Boyd, Bradford B., Supervisory Training: Approaches and Methods, ASTD, 1976.

Blumenson, Martin and Stokesbury, James L., Masters of the Art of Command, Houghton Mifflin Co., Boston, 1975. Accounts of how commanders function in war -- how leaders direct their men in battle.

Boyatzis, R.E., The Competent Manager, New York: Wiley, 1982. An examination of the construction of competency based models. The author addresses the theory and the "how-tos" as done by McBer and Company of Boston.

Broadwell, Martin M., The Practice of Supervising: Making Experience Pay, Addison-Wesley, 1977.

Clarke, Bruce C., Guidelines for the Leader and the Commander, Stackpole Books, Harrisburg, Pa, 1968.

Drucker, Peter F., The Effective Executive, New York: Harper, 1967.

Department of the Army, "Leadership at Senior Levels of Command," DA Pamphlet 600-15, Washington, D.C., Oct 1968. This PAM is helpful for any officer interested in developing those competencies critical to success.

Eddy, George G., "Taking Command," Infantry, May-June 1983, pp. 18-20.

Eddy, George G., "Who's on First?" Infantry, Jul-Aug 1983, pp. 21-23.  
Martin M., Improving Leadership Effectiveness: The Leader Match Concept, Wiley, 1976.

Fiedler, Fred E. and Chemers, Martin M., Improving Leadership Effectiveness: The Leader Match Concept, Wiley, 1976.

Herman, Stanley M., Authentic Management, Addison-Wesley Publishing Co., Menlo Park, Ca. 1977.

Hersey, P. and Blanchard, K.H., Management of Organizational Behavior: Utilizing Human Resources, Englewood Cliffs, NJ: Prentice Hall, 1969.

Katz, Robert L., "Skills of an Effective Administrator," Harvard Business Review, Sep-Oct, 1974. Three basic skill areas are identified and described--technical, human and conceptual. These qualities must be present in every manager. Their importance and how they can be developed is treated.

Keegan, John, The Face of Battle, New York: Viking Press, 1976.

Kolb, D.A. and Boyatzis, R.E., "Goal-Setting and Self-Directed Behavior Change," Human Relations, 1970, 23(5), 439-457.

Kotter, J.P., The General Manager, New York: The Free Press, 1982.

Lombardo, M. M., Looking at Leadership: Some Neglected Issues, Technical Report number six, Greensboro, NC: Center for Creative Leadership, 1978. Reviews what is known about leadership and data collected about the nature of managerial work. Three dimensions are presented as useful in understanding managerial performance: complexity/simplicity use of structures and use of power.

Malone, D.M., "An Army of Excellence," A Leadership and Management Technical Area Working Paper 83-1, Research Institute for the Behavioral Sciences, Alexandria, Virginia, 1983.

Malone, D.M., "Able and Willing," Infantry, Mar-Apr 1983, pp. 9-11.

Malone, D.M., "Values and Discipline," Infantry, Jan-Feb 1983, pp. 7-8.

Manchester, William, American Caesar Douglas MacArthur 1880-1964, Dell Publishing Co., New York, NY: 1978.

Manchester, William, Goodbye, Darkness, A Memoir of the Pacific War, Dell Publishing Co., New York, NY: 1982.

Mayer, William E., "Why Did Many GI Captives Cave In?," Interview reproduced in U.S. News & World Report, Feb 24, 1956.

Mintzberg, Henry, "The Manager's Job: Folklore and Fact," Harvard Business Review, Jul-Aug, 1975, pp. 49-51. Studies suggest that most managers are not reflective, systematic, scientific professionals. Rather they play interpersonal, informational, and decisional roles. To gain real improvement, Mintzberg advocates a realistic look at how managers use their time and asks some self-study questions.

Myrer, Anton, Once An Eagle, New York: Berkley Publishers, 1981.

Odioro, George S., How Managers Make Things Happen, New Jersey: Prentice-Hall, Inc., 1980. Describes how action-oriented managers think, behave, and relate to their environment so they get results when other managers do not.

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Olmstead, J.A., "The Skills of Leadership," Military Review, Vol. 47, No. 3, March 1967, pp. 62-70.

Peter, Laurence J. and Hull, The Peter Principle, Bantam, 1969.

Peters, Thomas J. and Waterman, Robert A. Jr., In Search of Excellence: Lessons from America's Best-Run Companies, Scranton, PA: Harper and Row, 1982. Identifies the characteristics of successful businesses based on the analysis of a number of those identified as best-run companies. Contains extremely insightful observations about what makes for an effective organization.

Ouchi, William G., Theory Z: How American Business Can Meet the Challenge, New York: Avon Books, 1982. (Paperback) Explains in fundamental terms why productivity in Japan is higher and describes how American firms can modify their organizational and management behaviors to become more efficient and successful.

Schmidt, Jerry A., Help Yourself: A Guide to Self-Change, Research Press, 1976.

Sherwin, Douglas S., "Management of Objectives," Harvard Business Review, May-June, 1976. The work of an organization is not the sum of individual tasks. Achieving specific objectives requires the coordinated contributions of individuals in different departments.

Uris, Auren, The Turned-On Executive: Building Your Skills for the Management Revolution, McGraw-Hill, 1970.

U.S. Army War College, Army Command and Management: Theory and Practice, 1981-1982, Carlisle Barracks, PA. Provides an overview of the Army's complex and pervasive command and management structure and processes.

Leadership and Management Education and Training, NAVEDTRA 38030, U.S. Navy Publication. A study journal for prospective commanding officers.

Williams, S.B. and Leavitt, J.J., "Group Opinion as a Predictor of Military Leadership," Journal of Consulting Psychology, 1947, 11, 228-291.

Zais, Mitchell, "Leadership, Management, Commandership and Organizational Effectiveness: A Model and Comparative Analysis," OE Communique, No. 1, 1982. pp. 47-54.

Zaleznick, Abraham, "Managers and Leaders: Are they Different?," Harvard Business Review, May-June 1977, p. 72.



## B. FORT CARSON VALIDATION

The following is a copy of the validation instrument used by the author at Fort Carson. Each section is followed by the data accumulated: (1) directions and battalion commander's profile with scrubbed data, (2) battalion commander identification of company commander strengths and weaknesses with scrubbed data and (3) by phase listing of those matrix scores from company commanders rated as above average or outstanding by their battalion commander.

Subject: Self-Assessment Competency Range Validation

1. Purpose: To explain how the solution range and variance will be determined to support Part IV of the Pre-Command Self-Assessment Handbook 1983.

2. General:

a. Provide validation participants (CO CDRs) with an overview of the thesis. This should include a full explanation of the model and the instrument.

b. The validation participants will be given one hour to read and complete Parts I through III. It must be emphasized that all responses are critical and that no names will be involved.

c. Battalion commanders will be asked to provide a senior rater profile for his CO CDRs. He will also be asked to his personal leadership model.

d. Solution range for each competency will be based upon the above average and the outstanding BN CDR ratings of individual company commanders' competencies. That is, only those CO CDRs rated by the BN CDR as above average and outstanding will be used in the data base.

e. Solution variance will be tied to solution range variance, that is, not more than one standard deviation off the range.

3. Handbook Validation with CO CDRs:

a. CO CDRs will be assembled for 90 minutes in a room protected from distractions.

b. Each CO CDR should have at least two pencils.

c. The room should be equipped with a table for all company commanders and an overhead projector for the initial briefing.

d. Validation Schedule with CO CDRs:

- (1) Thesis introduction (15 min)
- (2) Handbook explanation (15 min)
- (3) Completion of Handbooks by CO CDRs (60 min)

e. Evaluation of CO CDR results and Determination of Solution Range & Variance:

(1) Select only those Handbooks of CO CDRs rated by their BN CDR as above average or outstanding.

(2) Eliminate individual competency matrix scores which are not confirmed by BN CDR, that is, if CO CDR indicates he is strong in a given competency but the BN CDR indicates he is weak in the same competency.

Subject: Self-Assessment Competency Range Validation  
page 2

(3) List the remaining matrix scores by competency indicating the solution range.

(4) Variance determination is a subjective call based upon the breadth of the solution range. Narrow solution range may have "0" variance and broad solution range competencies may have up to a "2" variance. In the case where only "1" behavior is indicated "0" will always be the variance.

4. Battalion Commander Validation Interviews:

a. Interview Format:

(1) Thesis overview with objectives, confidentiality and mechanism for referring to CO CDRs explained.

(2) Personalized competency model for CO CDR role:

- competency identification using competency listing
- questions

(3) BN CDR profile of CO CDRs

(4) BN CDR identification of CO CDR competency strengths and weaknesses

b. Evaluation of BN CDR Input:

(1) The BN CDR's model will be added to the senior interview results.

(2) The BN CDR's profile of his CO CDRs will be used to determine which CO CDR Handbooks will be used for validation.

(3) The BN CDR will be given a series of sheets with each competency and the corresponding definitions in the Handbook. He will be asked to put an "S" for a strength, a "W" for a weakness or a "N" for neither.

5. Caution:

(1) In the case where there is an obvious personality conflict the handbook input will be discounted.

(2) Incomplete responses will be discounted.

(3) No unit designations will be mentioned in the Thesis (only Div)

(4) If the BN CDR has observed the CO CDR for less than two months ask the BN CDR if he feels that his rating will be accurate.

(5) Write the company letter designator on the face of the company commander's handbook.

Pre-Command Self-Assessment Handbook 1983 Competency Range Validation

Subject: Battalion Commander's Profile of Company Commanders

Battalion: \_\_\_\_\_

1. Purpose: This instrument is essential to the validation of the CO CDR input. Results will be used to ascertain how to best interpret each CO CDR's competency ratings.

2. Directions: Please refer to your company commanders using the company designator, that is, A Company, B Company etc. Write the appropriate response for each company commander in both columns A and B in accordance with the following:

Column A: Rank all five (5) company commanders. No ties allowed. Write a "1" for your best company commander and a "5" for your 5th ranked company commander. \*

Column B: Rank each company commander in accordance with one of the following phrases. Write the corresponding letter in column B beside the appropriate company letter.

- (a) He is amongst the outstanding CO CDRs I have observed during my career.
- (b) He is amongst the above average CO CDRs I have observed during my career.
- (c) He is an average CO CDR when compared to all CO CDRs I have observed during my career.
- (d) He is a below average CO CDR when compared with all CO CDRs I have observed during my career.

COMPANY	COLUMN "A"	COLUMN "B"
A	_____	_____
B	_____	_____
C	_____	_____
CS	_____	_____
HHC	_____	_____

\* We are only looking at current performance and NOT potential.

Section B (Fort Carson Validation)

Battalion commander profiles of company commanders

COLUMN A

<u>CO</u>	<u>1ST BN</u>	<u>2ND BN</u>	<u>3RD BN</u>
A	3	1	4
B	2	2	1
C	N/A	3	3
CS	1	5	2
HHC	4	4	5

COLUMN B

<u>CO</u>	<u>1ST BN</u>	<u>2ND BN</u>	<u>3RD BN</u>
A	C	A	C
B	C	A	A
C	N/A	A	B
CS	A	B	A
HHC	D	B	C

Pre-Command Self-Assessment Handbook 1983 Competency Range Validation

Subject: Battalion Commander Identification of CO CDR Strengths & Weaknesses

Battalion: \_\_\_\_\_

1. Purpose: To confirm CO CDR self-assessments. A confirmed strength or weakness will be included in the final Self-Assessment Document. Conflicts with perceptions will be negated from the data base.

2. Directions:

(a) Your CO CDRs will/have take(n) the Pre-Command Self-Assessment Handbook. They will/have indicate(d) the IMPORTANCE and FREQUENCY of execution of a number of behaviors during the course of the performance of their duties. You should now validate their self-assessment.

(b) Company commanders will be identified only by the letter name of their company.

(c) Read through the competency definitions and then write one of the following letters to indicate how you perceive this competency/behavior for the designated CO CDR:

"S" for a strength

"W" for a weakness

"N" for neither a strength nor a weakness

(d) There are 25 competencies. Please use the same directions for all competencies.

3. Competency listing:

(1) EFFECTIVELY USES RESOURCES:

- \* matches people and jobs to get best performance
- \* defines problems, outcomes as significant cost/savings in resources
- \* expresses displeasure to specific individuals when time/effort is clearly wasted
- \* considers trade-offs between task requirements and people's morale

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(2) PLANS AND ORGANIZES

- \* develops methods to keep track of tasks, progress (prepares an action plan)
- \* organizes and schedules people, material or activities in new ways to accomplish a task
- \* identifies action steps, resources and obstacles involved in reaching an objective
- \* thinks things through systematically ahead of time (at least 3 steps are taken) and he ranks the alternative courses of action

A	_____	CS	_____
B	_____	HHC	_____
C	_____		

(3) TAKES INITIATIVE

- \* takes action beyond what is necessarily called for
- \* uses imaginative or unusual means to overcome an obstacle
- \* resourceful and persistent
- \* adapts quickly to changing circumstances
- \* anticipates to situations, rather than reacting to them

A	_____	CS	_____
B	_____	HHC	_____
C	_____		

(4) MANAGES TO STANDARDS

- \* strives for precision around mission accomplishment
- \* keeps track of a work process by seeking information on its progress
- \* requires additional effort from others when mission related standards are not met
- \* makes effort to surpass existing mission standards

A	_____	CS	_____
B	_____	HHC	_____
C	_____		

(5) SETS GOALS & PERFORMANCE STANDARDS

- \* establishes specific goals
- \* sets deadlines for tasks' performance
- \* is concerned with standards and task performance

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

(6) SELF-CONFIDENCE

- \* expresses belief in own expertise
- \* describes self as a star/expert
- \* compares self favorably to others

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

(7) RESPONSIBLE

- \* tends to assume responsibility for own actions or areas over which he has authority

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

(8) JOB INVOLVEMENT

- \* makes personal sacrifice for professional gain as army officer (stays the course)
- \* works on own knowledge and skill development
- \* pinch hits for others when necessary to get the job done
- \* expresses enthusiasm for past or prospective challenges

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_



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(9) TOLERANCE FOR STRESS

- \* stability of performance under pressure and opposition
- \* actions influenced by limited time constraints
- \* displays a confident calmness in looks and behavior during situations which are stressful

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(10) FLEXIBILITY

- \* when faced with barriers or obstacles to mission accomplishment he can respond with different arguments, techniques or leadership styles to achieve the goal
- \* ability to adapt to new or changing-situations

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(11) DECISIVE

- \* readiness to make decisions, take action or commit one-self

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(12) TEAM BUILDING

- \* communicates the need for cooperation
- \* acts to create symbols and rituals for group identity, pride and team development
- \* organizes teamwork for important non-routine tasks that require cooperation between individuals and among work groups

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

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(13) ASSERTIVE

\* takes charge of situation and guides effort to solution

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(14) ENERGY

\* quick, active, full of pep, vigorous

\* throws himself into everything he does

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(15) SELF-CONTROL

\* holds back an impulse to say or do something inappropriate

\* does not show anger under attack

\* makes decision only after identifying and weighting all the facts

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(16) DELEGATES

\* uses chain-of-command to get subordinates to share in task accomplishment

\* through methods other than direct orders, encourages people to seek task-management responsibility

\* clearly assigns authority to others for task accomplishment

A \_\_\_\_\_ CS \_\_\_\_\_

B \_\_\_\_\_ HHC \_\_\_\_\_

C \_\_\_\_\_

(17) DEVELOPS SUBORDINATES

- \* expresses enthusiasm for training
- \* provides information and encouragement necessary to get job done
- \* coaches by making training opportunities, expert help and other resources available to subordinates
- \* assigns tasks to subordinates with explicitly stated goals of developing others' abilities or self-image

A     \_\_\_\_\_     CS     \_\_\_\_\_

B     \_\_\_\_\_     HHC     \_\_\_\_\_

C     \_\_\_\_\_

(18) APPLIES REWARDS EQUITABLY

- \* officially recognizes people for their accomplishments
- \* does everything possible to see that deserving individuals are rewarded appropriately
- \* provides positive feedback to people on their performance of a specific task

A     \_\_\_\_\_     CS     \_\_\_\_\_

B     \_\_\_\_\_     HHC     \_\_\_\_\_

C     \_\_\_\_\_

(19) REALISTIC POSITIVE REGARD

- \* expresses concern when subordinates are not respected, rewarded or thanked
- \* attempts to comfort and watch-out for the welfare of subordinates
- \* goes out of way to help subordinates solve personal problems

A     \_\_\_\_\_     CS     \_\_\_\_\_

B     \_\_\_\_\_     HHC     \_\_\_\_\_

C     \_\_\_\_\_

(20) DISCIPLINES

- \* holds subordinates accountable and gives appropriate discipline
- \* provides negative feedback to subordinates on inappropriate appearance, behavior or performance

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

(21) LISTENING SKILLS

- \* receives many orders orally which must be properly applied in decision making process
- \* ability to extract relevant information in oral communication

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

(22) DIAGNOSTIC UNDERSTANDING

- \* states another person's perspective in a disagreement
- \* recognizes patterns in situations and behaviors
- \* gives articulated and plausible explanation of why people behave in certain ways

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

(23) CONCEPTUALIZES

- \* analyzes information about a situation by comparing what exists now with what ideally should exist, in order to develop an overall plan of action
- \* rigorously searches for and identifies the available facts
- \* organizes facts and draws realistic inferences

A \_\_\_\_\_ CS \_\_\_\_\_  
B \_\_\_\_\_ HHC \_\_\_\_\_  
C \_\_\_\_\_

Pre-Command Self-Assessment Handbook 1983 Competency Range Validation

(24) JUDGMENT

\* ability to make rational and realistic decisions based upon  
factual information and consideration of organization resources

\* considers quality of the decision

A     \_\_\_\_\_     CS     \_\_\_\_\_

B     \_\_\_\_\_     HHC     \_\_\_\_\_

C     \_\_\_\_\_

(25) CREATIVE

\* espouses original ideas and applications

\* demonstrates ability to create

A     \_\_\_\_\_     CS     \_\_\_\_\_

B     \_\_\_\_\_     HHC     \_\_\_\_\_

C     \_\_\_\_\_

# Section B (Fort Carson Validation)

## Data summary of Battalion Commander input

	A	B	C	CS	HHC	A	B	C	CS	HHC	A	B	C	CS	HHC
1	S	W	-	S	W	S	S	S	N	S	W	S	S	S	N
2	S	S	-	S	S	S	S	S	W	W	N	S	S	S	N
3	S	S	-	S	W	S	N	S	W	S	W	S	S	S	S
4	N	S	-	S	W	S	S	N	N	S	N	S	S	S	S
5	S	S	-	S	W	S	S	S	S	S	S	S	S	S	S
6	N	N	-	S	N	S	S	S	N	N	S	S	S	S	S
7	S	S	-	S	N	S	S	N	S	S	S	S	S	S	S
8	S	S	-	S	W	S	S	S	S	S	S	S	S	S	S
9	S	S	-	S	S	S	S	S	W	N	W	S	N	S	W
10	S	S	-	S	S	S	S	S	W	W	N	S	N	S	N
11	S	S	-	S	N	W	S	S	W	W	S	S	S	S	S
12	N	S	-	S	W	S	S	S	S	W	N	S	S	S	W
13	S	S	-	S	N	N	S	S	N	S	S	S	S	S	S
14	S	S	-	S	N	S	S	S	S	S	N	S	S	S	S
15	S	N	-	N	S	S	S	S	W	W	S	S	S	S	S
16	N	N	-	S	N	S	S	S	W	W	S	S	S	S	S
17	S	S	-	S	N	N	S	S	S	N	N	S	N	S	N
18	N	S	-	S	N	W	W	S	S	N	S	S	S	S	S
19	S	S	-	S	N	S	S	S	S	S	S	S	S	S	S
20	N	N	-	S	N	N	S	N	N	N	W	S	S	S	W
21	S	S	-	S	S	S	S	S	N	N	S	S	S	S	S
22	S	S	-	S	N	N	S	S	S	N	S	S	S	S	S
23	S	S	-	S	W	S	S	S	W	W	S	S	S	S	S
24	S	S	-	S	W	S	S	S	S	S	S	S	S	S	S
25	N	N	-	S	N	S	S	S	N	W	S	S	S	S	S

Section B (Fort Carson Validation)

Data summary of company commander input: Phase I

CO CDR	1	2	3	4	5	6	7	8	9
1	E4	E5	D4	D4	D4	E3	E4	-	-
2	D4	D4	D4	E3	D4	C3	C4	-	C4
3	C3	E5	C3	D3	E5	E4	D4	E4	C4
4	D3	E4	D5	D4	D4	D3	E3	D3	E4
5	C2	D4	C4	C3	D3	C2	D4	-	-
6	E5	E5	E5	E5	E4	E5	E4	-	E5
7	C4	E5	C3	E4	D3	D3	D3	C3	D4
8	D4	E3	C4	D4	E5	E5	D4	D3	E4
9	D5	E5	E4	E4	E5	E4	D4	D5	E4
10	D4	D5	C4	C3	D4	D4	E4	D4	C3
11	D4	E5	C3	D4	D5	E3	E4	-	E5
12	D5	E5	C4	E4	E5	D4	D5	-	-
13	E5	E4	E4	D3	E5	E3	E4	D3	D4
14	C2	E5	D4	E4	D4	D3	E3	C3	D3
15	E4	E5	D4	D3	E4	E5	E4	-	E4
16	E4	E3	E4	E4	E5	E5	E4	-	E5
17	D4	E5	E4	D4	E5	E3	E3	E5	E4
18	D3	E4	E4	C3	E5	E4	E3	E4	D3
19	D4	D5	C3	D4	D4	E3	D4	E5	D5
20	D3	D4	E4	C3	E3	E4	D3	-	-

Section B (Fort Carson Validation)

Data summary of company commander input: Phase II

CO CDR	1	2	3	4	5	6	7	8	9
1	D3	E4	E4	C3	C3	E5	D3	E5	C4
2	D4	E3	C2	D4	C2	E5	D3	E5	E5
3	D4	C3	C2	C4	E5	D3	E4	-	D3
4	E3	E5	E3	E5	E4	E5	E3	D4	E3
5	E4	E5	C3	E3	D4	E4	E4	-	-
6	D4	E4	D3	C3	E3	E5	D4	C3	D4
7	B1	E2	B2	C3	B2	D3	C2	D3	C3
8	C4	E4	E4	E4	E4	E3	D3	-	E3
9	E5	E5	E5	E5	E5	E4	E4	E5	E3
10	E4	E4	E4	D3	E5	E5	E4	-	-
11	E4	E4	E4	D4	E4	E3	E3	-	E4
12	D4	E5	C3	E4	D4	E4	D3	E5	D3
13	B1	E3	A2	E5	D4	C3	D4	E5	D4



Section B (Fort Carson Validation)

Data summary of company commander input: Phase III

CO CDR	1	2	3	4	5	6	7	8	9
1	D4	E5	E5	C3	D4	D3	D4	E3	-
2	D3	E4	D4	D4	C4	D3	D4	-	-
3	C3	C3	C4	E5	E4	C3	D3	D3	D3
4	C2	E3	D3	D4	C4	B2	D4	-	-
5	C3	D4	C3	D3	D4	B2	D3	C2	-
6	E4	C3	E5	E4	E4	E4	D4	D4	E5
7	D4	E4	D4	D4	D4	E3	D4	-	-
8	E4	E5	E5	E5	-	E3	E4	-	-
9	D4	D5	D4	D3	D4	D3	E4	C3	-
10	B4	C4	C4	E4	C3	E4	D4	E4	D4

Section B (Fort Carson Validation)

Data summary of company commander input: Phase IV

CO CDR	1	2	3	4	5	6	7	8	9
1	D4	E4	E5	E5	E5	E4	D3	D4	E4
2	D4	D4	E4	D4	E4	E4	E4	E3	C4
3	D3	C2	E5	D3	D4	E4	E4	E3	D4
4	D4	E5	C2	E4	D4	D3	E4	C3	D3
5	E5	E5	E5	D4	E4	D3	E4	-	-
6	D3	E2	E5	E3	-	-	E3	E3	D3
7	D3	D4	E5	E3	-	-	E4	E3	D3
8	E4	E5	D4	E4	E4	E5	E3	E3	E5
9	D4	E2	D3	D4	D4	D3	E4	-	-
10	C4	E4	D4	C3	D4	D4	D4	E4	E4
11	D3	E4	E4	D4	D4	D3	D3	E2	E4
12	D3	D3	D3	D3	C2	C2	C3	E3	D3
13	D5	E5	D4	E4	E5	E4	D4	E4	C4
14	C4	E4	C3	C3	E5	E5	D4	E4	C4
15	E5	E5	E5	D4	E5	E4	E4	-	-
16	E4	E2	E5	E4	-	-	D4	D3	E3
17	D4	E4	E4	D4	E4	E5	E4	E4	E4

Section B (Fort Carson Validation)

Data summary of company commander input: Phase V

CO CDR	1	2	3	4	5	6	7	8	9
1	C3	E5	E4	E4	D4	D4	E3	-	-
2	B2	B2	C2	C3	D3	C2	D4	B1	B2
3	E5	E5	E4	E4	E4	E4	E4	E4	E4
4	D3	E3	D3	D4	D3	C2	D3	D4	-
5	C3	D4	D3	D4	D4	E4	D3	D3	E4
6	C3	E3	D3	D3	C3	D3	D3	C3	-
7	D3	E4	D3	D3	D4	D4	C3	-	-
8	D3	E5	C3	E3	D4	E5	C3	D4	E5
9	B2	E4	C2	D3	C2	C2	D4	C3	D5
10	D3	E5	C3	E4	D4	D4	E4	-	-

### C. CAS CUBED DATA CHECK

The following is the data accumulated from ten CAS Cubed students who participated in the validation process in August 1983. The materials included are: (1) a copy of the cover letter which accompanied each handbook, (2) the compiled matrix scores by phase and (3) a summary of the adjustments made to the 4th ID(M) data.

25 July 1983

Subject: Company Commander Competency Assessment

TO WHOM IT MAY CONCERN

I am an infantry officer working on a thesis entitled "Company Commander Competency Assessment." The end product of my research will be a self-assessment instrument for officers who will command companies. The objective of the instrument is to assist the officer with the identification of competency strengths and weaknesses. It will then guide the officer in the preparation of the plan to strengthen his weaknesses.

Over the past six months I have generated a "success" oriented competency model for the role of the company commander. My data sources include a company commander questionnaire, numerous interviews with battalion and brigade commanders and a battalion commander workshop.

The attached Pre-Command Self-Assessment Handbook 1983 is the "draft" of Parts I-III of a five part instrument. Part I explains the organization and the focus of the instrument.

To validate the instrument it is important that I establish reliable competency parameters. In order to do this I will visit Fort Carson (4th ID(M)), 4-7 Aug 1983, to administer the instrument to current company commanders. (They will validate how important and how frequent each behavior is to success in command.)

As a check of my Fort Carson findings I have asked the operations officer for CAS<sup>3</sup> to invite ten (10) combat arms student officers, all previous company commanders, to take the instrument. The completed handbooks will then be returned to me without any reference to the participant.

I appreciate your willingness to participate in this project. Copies of the final result will be mailed to CAS<sup>3</sup> this fall.

Sincerely,

ROBERT L. MAGINNIS  
Captain, Infantry

# Section C (CAS Cubed Data Check)

Data summary of CAS Cubed student input: Phase I

STUDENT	1	2	3	4	5	6	7	8	9	10
1	E4	E5	E4	C4	D5	D3	E4	C3	D4	D4
2	D3	D4	D4	C3	C4	C3	C3	D4	D4	E4
3	C4	E5	E5	D4	D4	E4	D4	E5	E5	D4
4	C4	E4	D4	D3	D4	D4	E4	D4	D3	E5
5	C5	D3	E5	B3	C3	B2	E4	C3	C3	D4
6	D5	E5	E5	E5	E4	D4	E5	E5	D4	E4
7	D4	E4	D4	C3	C4	D3	C2	D4	D5	D4
8	D4	E4	E5	E4	D4	E4	D4	D4	E4	D4
9	E5	E4	E5	D5	D4	D4	D4	D4	E4	D4
10	E5	D3	C3	C4	D4	C3	C3	D4	D4	C3
11	E5	E4	D4	E4	C4	D3	E4	E5	D4	E4
12	D4	E3	E4	C3	B4	C4	C3	D4	E5	C3
13	E5	D3	D4	D4	C2	D4	D5	D4	E5	C3
14	D4	E4	E5	D5	D4	D4	E5	D4	D4	E5
15	D4	E5	E4	E3	E4	E4	E5	E4	E3	E5
16	D4	E5	E4	E4	C4	D4	E4	D4	D4	E4
17	E5	E5	E5	D5	D4	-	E5	E5	E5	D4
18	C4	E4	E5	C3	D4	-	E4	E5	D3	D4
19	C4	D4	D5	D5	C3	-	D3	D4	D4	D4
20	C2	E4	D4	E2	D4	-	D4	-	D4	C3

# Section C (CAS Cubed Data Check)

Data summary of CAS Cubed student input: Phase III

STUDENT	1	2	3	4	5	6	7	8	9	10
1	D4	E5	D4	B5	C3	D4	B2	D4	D4	D4
2	D4	E5	C3	D3	D3	C3	E4	C3	C3	D4
3	D3	E4	E4	C3	C3	C3	C3	D4	C3	D4
4	E5	E5	D3	D3	D5	C4	E5	E5	D4	E4
5	D4	E4	D4	E4	E4	D3	E4	D4	E3	D4
6	C3	E4	E5	E3	D4	C3	C3	D4	E3	C3
7	C3	D3	C3	B2	B2	B2	B1	B2	B1	B2
8	E4	E4	C3	E4	D5	E4	D4	D4	D2	C3
9	E5	E5	E5	C5	E5	E5	E5	E5	D4	E5
10	E5	E5	E4	E3	D5	D3	E5	D4	E4	E5
11	E5	E5	E4	D4	D5	E4	E4	E5	E3	D4
12	D4	E4	E5	E5	C3	D4	D4	D4	D3	D4
13	C4	C3	C4	B5	B2	D4	B1	B2	C3	B2

Section C (CAS Cubed Data Check)

Data summary of CAS Cubed student input: Phase III

STUDENT	1	2	3	4	5	6	7	8	9	10
1	E4	E5	E4	E5	C3	E5	E5	D4	D3	D4
2	D3	B3	D3	E4	D3	D4	E4	D4	D3	D4
3	D3	E5	D4	C3	C3	C4	D4	E5	D4	E5
4	E4	C3	D4	B3	D3	D4	E4	C3	D3	C3
5	D4	E5	E5	B3	D3	D4	C4	D4	C3	C3
6	E3	E4	E4	E5	D4	D3	E4	E5	D3	E4
7	E4	E5	E4	E4	E4	E4	E4	D4	D4	D4
8	E5	E4	E5	D4	D4	E5	E4	D4	E4	E4
9	D4	E4	E5	E4	C3	D4	D4	D4	E3	D4
10	D3	C3	D4	D4	D3	D3	D4	D4	E4	D4



# Section C (CAS Cubed Data Check)

Data summary of CAS Cubed student input: Phase IV

STUDENT	1	2	3	4	5	6	7	8	9	10
1	E5	E5	E5	D4	D4	E4	E5	D4	D4	E5
2	E5	E5	D5	D4	E5	D4	E4	D4	E3	E4
3	D5	E5	E5	E4	D3	E4	E4	E4	E4	E5
4	D5	E3	E4	D3	D4	C4	D4	D4	D4	D4
5	D5	E5	E5	E4	D3	D4	E4	D4	D4	E5
6	E5	E5	E4	D3	E4	D3	D4	E4	D4	E5
7	E5	E5	E4	D3	E4	E4	D4	E4	D3	E4
8	E5	E5	E5	D4	E3	E5	E5	E5	D4	E5
9	D5	E4	D4	D4	C3	D3	E5	D4	D4	E4
10	D4	E5	E5	D4	E5	D4	E4	D4	D4	E5
11	D4	E4	E4	D3	D3	D4	E4	D4	D4	E5
12	D4	E4	D3	C3	C3	C3	E4	D4	D4	E4
13	D4	E5	E4	D2	D3	C3	D3	D4	D4	E5
14	D3	E4	E5	D5	D3	C2	C3	D4	D4	E5
15	D4	E4	D4	C3	D3	-	E4	D4	D4	D4
16	D4	E5	E4	E3	D4	-	E4	E4	E5	C3
17	D4	E5	E4	C2	D4	-	E5	D4	D4	E5

Section C (CAS Cubed Data Check)

Data summary of CAS Cubed studnet input: Phase V

STUDENT	1	2	3	4	5	6	7	8	9	10
1	C3	E4	E4	E5	D4	D4	E4	D4	D4	C3
2	C3	E4	D4	C3	D3	B2	D2	-	D3	E5
3	E5	E4	E4	E4	D4	D4	E4	E5	E4	E5
4	D4	E4	D4	D3	D3	C3	C3	D4	D4	E4
5	D4	E5	D4	D4	D4	D4	D4	D4	D4	E5
6	D4	E3	D4	C4	D3	B2	D4	D4	D3	E5
7	D4	E5	E5	D4	C3	D3	E4	D4	D3	E5
8	E5	E5	E5	E4	D3	D4	E4	D4	D4	E5
9	C3	D4	C3	D3	C3	C3	C3	D4	D4	D4
10	D4	E5	E5	E4	D3	D4	D4	D4	D4	E4

Section C (CAS Cubed Data Check)

Adjustments to Solution Ranges based on CAS Cubed input

1. Phase I: activity #3--adjusted up to D3-5,E3-5
2. Phase I: activity #12--adjusted down to C3-5,D3-5,E3-5
3. Phase I: activity #14--adjusted up to D3-5,E3-5
4. Phase I: activity #16--adjusted down to D4-5,E4-5
5. Phase II: activity #4--adjusted down to D3-5,E3-5
6. Phase III: activity #4--adjusted up to C3-5,D3-5,E3-5
7. Phase III: activity #8--adjusted down to D4-5,E4-5
8. Phase IV: activity #4--adjusted up to D3-5,E3-5
9. Phase IV: activity #13--adjusted down to D3-5,E3-5
10. Phase IV: activity #15--adjusted down to D4-5,E4-5
11. Phase V: activity #8--adjusted up to D3-5,E3-5

APPENDIX E  
OTHER COMPETENCY BASED MODELS

Numerous competency based models have been constructed by civilian contractors. Some of these models are listed in this appendix. They are representative of the many in both the public and private sectors. The titles for the enclosed models are:

- (1) American Management Association model for "the manager"
- (2) 4th Inf Div (Mech) LEAD model for "the commander"
- (3) McBer & Co. model for Army Junior Officers
- (4) McBer & Co. model for Human Resource Management Specialist with OSDP responsibilities
- (5) McBer & Co. model for the company officer cadre at Naval Officer Training sites
- (6) McBer & Co. model for professional development instructors (Naval officer training)

Model: Evarts, Harry F., Institute for Management Competency, American Management Association, 1982. Extracted from "An Experimental Approach to Developing Managerial Competencies"

### SKILL COMPETENCY DESCRIPTORS

GOAL AND ACTION MANAGEMENT CLUSTER--This cluster deals with the manager's initiative, image, problem-solving skills, and goal orientation.

- \* Efficiency Orientation--The ability to be concerned with doing something better using efficient methods, realistic goals and standards of excellence.
- \* Proactivity--The ability to want to take action to accomplish something, such as solving problems, overcoming obstacles, achieving goals.
- \* Concern with Impact--The ability to have a need to persuade others and to uphold the image and reputation of the organization.
- \* Diagnostic Use of Concepts--The ability to use existing concepts or patterns to explain or to interpret an assortment of information.

DIRECTING SUBORDINATES CLUSTER--This cluster involves a manager's freedom of expression both in times of giving directives and orders, as well as giving feedback to help develop subordinates.

- \* Use of Unilateral Power--The ability to give directives and to obtain compliance.
- \* Developing Others--The ability to give others performance feedback to help them improve their performance.
- \* Spontaneity--The ability to express oneself freely and easily.

HUMAN RESOURCES MANAGEMENT CLUSTER--Managers with these competencies have positive expectations about others; have realistic views of themselves; build networks or coalitions with others to accomplish tasks; and stimulate cooperation and pride in work groups.

Model: American Management Association

- \* Use of Socialized Power--The ability to influence others through group effort.
- \* Managing Group Process--The ability to stimulate others to work effectively together in group settings.
- \* Positive Regard--The ability to express a belief in others' ability to perform and to improve.
- \* Perceptual Objectivity--The ability to be relatively objective about others' views and not limited by subjectivity.
- \* Accurate Self-Assessment--The ability to appraise one's strengths and weaknesses realistically.
- \* Self-Control--The ability to subordinate one's personal needs or desires to organizational welfare.
- \* Stamina and Adaptability--The ability to sustain long hours of work and to be flexible in adapting to change.

LEADERSHIP CLUSTER--This cluster represents a manager's ability to discern the key issues, patterns, or objectives in an organization, and to then conduct him or herself and communicate in a strong fashion.

- \* Self-Confidence--The ability to express confidence and to be decisive.
- \* Conceptualization--The ability to identify new concepts or to recognize new patterns in an assortment of information.
- \* Logical Thought--The ability to understand cause-and-effect relationships and to arrange events in a causal sequence.
- \* Use of Oral Presentation--The ability to make effective verbal presentations.

Model: 4th Infantry Division (Mechanized) LEAD model for  
the Army Company Commander

- \* Oral Communication Skill--Effectiveness of expression in individual or group situations (includes verbal and non-verbal communication).
- \* Listening Skill--Ability to extract relevant information in oral communication. The willingness to listen to and remain aware of the special problems of others.
- \* Tolerance for Stress--Stability of performance under pressure and opposition.
- \* Flexibility--Ability to adapt to new or changing situations.
- \* Initiative--Actively influencing events rather than passively accepting existing procedures. Takes action beyond what is necessarily called for. Originates actions rather than just responding to events.
- \* Planning and Organization--Ability to effectively establish an appropriate course of action for self and/or others to accomplish a specific goal, make proper assignments of personnel, and appropriate use of resources.
- \* Judgment--Ability to make rational and realistic decisions which are based on logical assumptions and which reflect factual information and consideration of organizational resources. Considers quality of the decision.
- \* Decisiveness--Readiness to make decisions, take action, or commit oneself.
- \* Delegation--Ability to utilize subordinates effectively. Allocating decision-making authority and fact-finding responsibilities to the appropriate subordinates.
- \* Management Control--Skill in establishing procedures to monitor or regulate processes, tasks, or assignments delegated to others. Involves keeping track of and following up on delegated duties and projects.
- \* Leadership--Utilization of appropriate interpersonal styles and methods in guiding individuals or groups toward task accomplishment. Deals with interpersonal skills rather than position power.

Model: McBer & Company model, provided to the U.S. Army under contract number MDA903-79-0-0666; authored by Cullen, Bernard J., Klemp, George O. Jr. and Mansfield, Richard S.

Title: Competency Model of the Army Junior Officer

Competencies:

1. Concern for Efficiency:

- \* expresses annoyance at things that slow tasks
- \* expresses displeasure to specific people when time or effort is wasted
- \* defines problems or outcomes as significant costs or savings in resources
- \* explicitly mentions doing something faster or more efficiency

2. Planning

- \* sets priorities
- \* develops methods to keep track of tasks' progress
- \* thinks things through systematically ahead of time

3. Initiative

- \* uses imaginative or other unusual means to overcome an obstacle
- \* develops innovative strategies to accomplish a mission
- \* builds and uses personal contacts to solve problems
- \* persists in order to overcome obstacles

4. Concern for Standards

- \* makes an effort to surpass existing mission standards
- \* strives for precision in mission accomplishment
- \* rejects substandard performance in mission-related activities
- \* requires additional effort from others when mission-related standards are not met



- \* systematically monitors the performance of subordinates
  - \* takes steps to ensure that subordinates master mission-related tasks and materials
5. Self-confidence
- \* expresses belief in own expertise
  - \* describes self as a star
  - \* compares self favorably with others
6. Job involvement
- \* makes personal sacrifices for professional gain as an Army officer
  - \* works on own knowledge and skill development
  - \* expresses enthusiasm for past or future challenges
  - \* pinch-hits for others when necessary to get job done
  - \* puts in very long hours to get job done
7. Persuading others
- \* uses knowledge of regulations to support a position
  - \* uses technical expertise to persuade
  - \* uses two or more reasons in order to persuade
8. Willingness to confront others
- \* defends his or her actions against others' criticisms
  - \* stands up to others for what he or she believes in
  - \* resists encroachment on his or her area of responsibility
9. Forcefulness
- \* pulls rank to overcome resistance
  - \* coerces when necessary

- \* manipulates situations and people
  - \* deliberately takes advantage of position and symbolic power
10. Concern with image
- \* describes people's perceptions of him or her
  - \* discusses impact of own behavior on attitudes and behavior of others
  - \* discusses the power implications of situations
  - \* keeps superiors informed, so that they are not embarrassed
  - \* shows awareness of people's interpretation of behavior
11. Concern for clarity
- \* uses material aids to increase audience's understanding
  - \* issues instructions and systematically reviews procedures
  - \* asks subordinates to repeat instructions, to be sure they understand them
  - \* demands or develops adequate channels of communication
  - \* probes for information to clarify a problem
12. Understanding people, situations, and data
- \* gives clear, reasonable explanations of why people behave in certain ways
  - \* describes a personal experience to communicate that he or she understands
  - \* states another person's viewpoint in a disagreement
  - \* recognizes patterns in situations and behaviors
  - \* analyzes information for differences between "real" and "ideal"

13. Positive attitude toward subordinates

- \* sees to the comfort and welfare of troops
- \* expresses concern when subordinates are not respected, rewarded, or thanked
- \* goes out of way to help subordinates solve personal problems
- \* rewards troops for a good job
- \* acknowledges people's contributions to success (gives credit where it is due)
- \* expresses confidence in subordinates' ability to do well
- \* demonstrates willingness to learn from subordinates
- \* makes a realistic assessment of what the individual is capable of, and avoids unfair blame

14. Developing subordinates

- \* expresses enthusiasm for training
- \* assigns tasks to subordinates with the stated purpose of developing their skills or self-image
- \* sets an example
- \* gives specific feedback on performance
- \* gives subordinates some freedom to decide how to accomplish tasks

Title: Competency Model for Human Resource Management Specialist with OSDP responsibilities by McBer & Co.

1. Achievement Cluster

a. Self-confidence

- \* Expresses confidence in own ability
- \* Wants to be in charge of lessons or programs
- \* Solicits feedback
- \* Confronts a superior or peer on a substantive or procedural issue

b. Concern for Quality and Standards

- \* Talks about need for improvements in program or course
- \* Expresses dissatisfaction with substandard programs or performance.

c. Initiative

- \* Takes on projects or responsibilities without being told to do so
- \* Solicits and disseminates information on foreign cultures

d. Results Orientation

- \* Spontaneously mentions specific effects of own projects or actions
- \* Weighs alternative strategies or actions in terms of their potential success in effecting a desired outcome

e. Planning and Organizing

- \* Lists three or more steps to be taken in connection with a project
- \* Sets priorities among steps to be taken

## 2. Diagnostic Ability Cluster

### a. Conceptualizing

- \* Relates an individual observation to a larger conceptual framework
- \* Detects a pattern in two or more observations or situations

### b. Diagnostic Ability

- \* Identifies specific learnings from past mistakes
- \* Sees the larger significance of mundane actions or situations

### c. Nonverbal Sensitivity

- \* Notices and interprets nonverbal signs of pleasure, anger, interest, boredom, etc.

## 3. Influence Cluster

### a. Political Awareness

- \* Expresses need to establish own credibility
- \* Expresses concern for getting support from Navy higher-ups
- \* Identifies key people in the power structure affecting ODSP programs
- \* Asks others to register support for a program

### b. Influence

- \* Appeals to the command interests of commanding officers (increased retention, decreased negative incidents, etc.)
- \* Appeals to superiors in the chain of command for assistance
- \* Builds sense of "ownership" of program in clients
- \* Uses authority to force cooperation from the bureaucracy

c. Marketing Orientation

- \* Expresses belief in the value of the services he or she offers

Title: The Competency Model for the Company Officer

Source: Extracted from "The Competency Model for Officer Source School Instructors" Task Order EG-50 Contract # N00600-78-D-0564, B.J. Cullen and Stephen F. Neubert, McBer & Co., 137 Newbury St., Boston, Mass.

1. Achievement Orientation Cluster

- \* Sets High Performance Standards: defined as demonstrating, communicating, and enforcing high performance standards for both self and others
- \* Focuses on Results: defined as an emphasis on the level of performance of an activity
- \* Takes Initiative: defined as a readiness to take actions not automatically demanded by the situation
- \* Assesses Self Accurately: defined as a readiness to reflect on and correct own performance

2. Developing Others Cluster

- \* Delegates: defined as the assignment of duties and responsibilities for the purpose of developing leadership in others
- \* Demands Personal Responsibility: defined as the insistence that others be aware of and accept the personal and professional consequences of their actions

3. Skillful Use of Influence Cluster

- \* Influences: defined as a desire to persuade or have an impact on others
- \* Gives Negative Feedback: defined as a readiness to confront conflicts and other problems
- \* Team Builds: defined as promoting a spirit of cooperation and cohesiveness within a group
- \* Emphasizes Fleet Standards: defined as the relating of activities to fleet requirements and conditions
- \* Demonstrates Confidence in Personal Authority: defined as a self-assurance in the use of authority

#### 4. Advising and Counseling Cluster

- \* Demonstrates Positive Expectations: defined as a belief in people's basic worth or ability to perform
- \* Demonstrates Student-Centered Diagnosis: defined as the continual gathering and analyzing of information related to the current or future performance of students
- \* Understands: defined as the capacity to see different points of view.



Title: The Competency Model for the Professional Development Instructor (Naval Officer Trainer)

Source: same as previous model

1. Achievement Orientation Cluster

- \* Sets High Performance Standards: defined as demonstrating, communicating, and enforcing high performance standards for both self and others
- \* Takes Initiative: defined as a readiness to take actions not automatically demanded by the situation
- \* Assesses Self Accurately: defined as a readiness to reflect on and correct own performance

2. Skillful Use of Influence Cluster

- \* Influences: defined as a desire to persuade or have an impact on others
- \* Gives Negative Feedback: defined as a readiness to confront conflicts and other problems
- \* Demonstrates Self-Control: defined as restraining impulses and feelings, and maintaining composure in potentially explosive situations

3. Advising and Counseling Cluster

- \* Demonstrates Positive Expectations: defined as a belief in people's basic worth or ability to perform
- \* Demonstrates Student-Centered Diagnosis: defined as the continual gathering and analyzing of information related to the current or future performance of students

4. Creative Teaching Skills Cluster

- \* Demonstrates Enthusiasm about Teaching: defined as the expression of involvement in, satisfaction from, and commitment to teaching
- \* Clearly Communicates Abstract Ideas: defined as a facility in describing and explaining abstract as well as practical ideas

- \* Creates and Uses Imaginative Teaching Strategies: defined as the readiness to design and implement innovative instructional techniques: techniques that are not included in existing lesson plans
- \* Prepares Students for the Fleet: defined as the continual relating of instructional material to fleet applications

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